# Construction General Information

## 1.0 As-Built Plans

Project personnel maintain and prepare for permanent retention "As-Built" plans on:

- Construction Projects on the State Highway System.
- Major projects constructed off the State Highway System for which the Department has provided funding and construction supervision.

Projects that are categorically excluded from this requirement are:

- Resurfacing Projects built according to plans without any additions, deletions, or modifications
- Projects let and built without plans
- Signal installations and Projects to add turning lanes at intersections

### 1.1 Mark-up Criteria for "As-Built" Plans

Mark in red ink on the "as-built" plans the following items that may be applicable to a particular project:

- Alignment or grade changes
- Drainage changes, such as location, flow line, structure size, etc.
- Surface changes, such as ditch paving, underdrain pipe, curbs, sidewalks, etc.
- Alternate construction method or item chosen if the original plans offered alternates
- Bridge changes, such as footing elevations, footing types
- Changes in guardrail location
- Typical section changes
- Major quantity changes

Ensure proper documentation for "as-built" plans by following the procedure:

1. Within 90 days after the District receives the Final Statement for a project, the District Preconstruction Engineer requests the master sepia plan set from the Office of Preconstruction that had responsibility for the original plans. The "as-built" plans are used to modify the master sepia plan set to reflect "as-built" conditions.
2. Within 90 days after receiving the master sepia, the District modifies the master sepia plan set to reflect all changes indicated in the "marked up" set. The modified sepia set is labeled "As-Built" and returned to the Office of Road and Airport Design for retention.
3. When the District Office designs a Project, the District prepares a modified sepia set as described above and submit it directly to the Office of Road and Airport Design for retention.

## 2.0 DBE Firms on Construction Projects

For more information, see Subsection 107.05 of the Specifications.

### 2.1 Responsibilities and Requirements Regarding Disadvantaged Business Enterprise

**A. Federal Regulations**

It is the policy of the Georgia Department of Transportation to ensure compliance with Title VI of the Civil Rights Act of 1964, 49 Code of Federal Register, Part 26 and related statutes and regulations in all program activities.

Federal Regulations place strict requirements on the Department concerning the use of Disadvantaged Business Enterprise (DBE) firms on Federal-Aid Projects. DBE goals are not new to the Department, but we must place increased emphasis on efforts to monitor the use of DBE firms. Responsibility for monitoring DBE compliance requirements with Federal Regulations is designated as follows:

- The Construction Division is responsible for the enforcement of the DBE regulations and policies on Department of Transportation construction programs.
- The Office of Equal Opportunity (EEO) is responsible for DBE participant certification, decertification, and recertification, and Final acceptable determination of goal shortfalls.

**B. Specific Program Responsibilities**

1. EEO Office

- Review all applications and certify only those firms that qualify as Disadvantaged Business Enterprises.
- Review certified companies and either recertify or decertify according to their compliance with Department policies.
- Maintain a list of certified DBE firms.
- Confer with and assist the Construction Bidding Administration in setting Contract DBE goals according to the appropriate regulations and Department Policies.
- Assist the Construction Bidding Administration in the approval of Contractor DBE Plans before the Award of the Contract.
- Submit quarterly reports to FHWA of Work designated for DBE firms on construction and consultant engineering Contracts.
- Review complaints alleging that a certified DBE firm is not a bona fide DBE and take appropriate action.
- Maintain a close liaison with District Field Construction personnel and assist them in carrying out their responsibilities with respect to monitoring the Department's DBE Program and monitoring District Contract Compliance activities.
- Approve / Specify appropriate action to be taken concerning shortfalls in DBE Participation of DBE commitments.

2. Office of Construction Bidding Administration
   - Set DBE Contract requirements and include them in the bid proposal. Set DBE goals at a level that will ensure compliance with Federal guidelines.
   - Obtain a list of DBE firms to be used on project from the Contractor.
3. Office of Construction
   - Audit use of DBE firms on projects during monthly audit of project records and notify Project Engineer of violations. Forward a copy of any such violation report to the EEO Office, when necessary.
   - Review Contract requirements for DBE goals.
   - Monitor use of DBE firms on project during construction inspections.
4. District Office
   - Primarily responsible for the administration of the DBE program for projects under construction within the District.
   - Set up appropriate procedures acting directly or through the Area Engineer to ensure that the Contractor meets DBE requirements in each Contract. Obtain a list of approved DBE firms on each project and transmit information to the Area Engineer.
   - Monitor DBEs approved to perform Work on the project in the Contract and on the Awards List distributed by the Office of Construction Bidding Administration. Verify that DBE firms working are approved to work on the project and that DOT 485 Request for Approval of Subcontract has been submitted by the Prime Contractor and approved by the Department.
   - Collect and file the DBE Participation Report submitted by the Prime Contractor showing all DBE information monthly or quarterly as required by the contract specific requirements under the "Reports" section in the Criteria for Acceptability.
   - Collect, file, and verify the Prime Contractor's submitted documentation regarding payments made from the Prime to all DBE subcontracts on federal aid projects in the form of cancelled checks, or electronic transfer receipts compared to payments made on the DBE Participation report.
   - Confirm the DBE firm performs Work, or supplies materials according to previous approval.
   - Obtain written certified verification of the dollar volume of Work performed and paid for from the Prime Contractor for each DBE Subcontractor before submitting the Final Pay Statement.
   - The District should monitor the Contractor's progress in meeting the goal; take appropriate action when it appears the Contractor may be in jeopardy of not meeting the goal as the project progresses.
5. Area/Project Engineer Office
   - Maintain an accurate list of DBE firms approved for each project and ensure that sufficient Work is set aside to meet the Contract goal as shown in the Contract or otherwise modified by the Office of Construction Bidding Administration.
   - Discuss DBE requirements at Preconstruction Conference and inform the Contractor that the approved DBE firms are required to perform the Work designated in the Contract.

- Review DBE Subcontracts and supply agreements for compliance with the Contract. Require the DBE firm to perform Work or supply material according to the approved list.
- Request a copy of the complete written subcontractor agreements from the Prime Contractor on all subcontractors and retain in the Project Files.

**Note: Do not allow Work designated for a DBE firm to be performed by others without prior approval. It may be necessary to withhold payments to the Contractor to enforce the DBE requirements contained in the Contract. Refer any situations that require investigation to the Office Construction Contract Liaison Section or Office of EEO.**

- Require Prime Contractor to submit a DBE Participation Report listing approved firms and dollar value of DBE agreements for Subcontracts and Work performed. The Prime Contractor updates this report whenever conditions concerning DBE participation change or on a monthly or quarterly basis as required by the contract specific requirements under the "Reports" section in the Criteria for Acceptability. Promptly transmit copies of this report to the District EEO Office.

Compare the information in this report to the original DBEs listed in the Contract. Note and report any changes to the District Office of Contract Administration.

**Note: Failure to submit the DBE Participation Report within 30 calendar days following the end of the quarter is cause for payment to the contractor to be withheld.**

- The Project Engineer may request a hauling plan when a DBE firm is listed for hauling credit. The Project Engineer uses this plan to determine which firm is actually doing the hauling. If the DBE firm deviates from the hauling plan, the Project Engineer may request the Contractor to submit a revised hauling plan and make note of any changes. If problems persist, the Project Engineer shall notify the DBE Office and the Office of Construction – Contract Liaison Unit.
- Credit for DBE participation may be disallowed for failure to comply with the provisions of the DBE regulations included in the Contract.
- Monitor and compare the payrolls of DBE firms on the project with the Prime Contractor's payroll. Check for the sharing of employees. Separate payroll files should exist in the project records for each Subcontractor (DBE and non-DBE). Swapping personnel between DBE and non-DBE firms is not acceptable.
- Conduct labor interviews with employees of the DBE firms on the project. Labor interviews with the spreader and dump operators is required if a DBE firm is listed to furnish the GAB.
- Record pertinent information concerning Subcontractors (DBE and non-DBE) in Contract Diaries. Note any DBE Subcontractors working on the project daily in diaries.
- Complete the Field Audit Report Form on Federal Aid projects quarterly on the Prime Contractor. Within 3 days of completion of the report, maintain original in project files and submit a copy of the report to the District EEO Officer who will notify the Prime Contractor and address any noted deficiencies.

- Complete the Commercially Useful Function Form on Federal Aid projects quarterly on each DBE subcontractor shown on the participation report that worked during the reporting period. This form may be completed electronically or manually. If the manual form is submitted, sign the form, note any discrepancies, maintain original in project files and forward a copy of the completed CUFs to the District EEO Officer for review and follow-up.

**C. Contract Requirements**

DBE Contract requirements can be satisfied through any means that allow an approved DBE firm to obtain Work and payment for project related items, such as the following:

1. The Contractor may count the entire expenditure for actual Work subcontracted and performed by any approved DBE firm; Including supplies purchased or equipment leased by the DBE, for the work of the contract (except supplies and equipment the DBE subcontractor purchased or leased from the prime contractor or its affiliate.)
2. The Contractor may count the expenditure to a DBE manufacturer (i.e., a supplier that actually produces goods from raw materials or substantially alters them for resale).
3. The Contractor may count 60% of the expenditures to DBE suppliers that are not manufacturers, provided that the DBE supplier:
    - Performs a commercially useful function in the supply process
    - Is established as a regular dealer of the material or supplies being furnished

- Is engaged in selling the material or supplies to the public

According to 49 CFR Subtitle A, A DBE is considered to perform a commercially useful function when "it is responsible for execution of a distinct element of the Work of a contract and carrying out its responsibilities by actually performing, managing, and supervising the Work involved."

A regular dealer is defined in 49 CFR Subtitle A as: "a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. To be a regular dealer, the firm must engage in, as its principal business, and in its own name, the purchase and sale of the products in question. A regular dealer in such bulk items as steel, cement, gravel, stone, and petroleum products need not keep such products in stock, if it owns or operates distribution equipment. Brokers and packagers shall not be regarded as manufacturers or regular dealers within the meaning of this section."

4. The Contractor may count the entire expenditure to DBE firms for fees or commissions charged by an approved DBE firm providing a bona fide service. This service includes professional, technical, consultant or managerial services and assistance in procuring essential personnel, facilities, equipment, materials or supplies required for completing the Contract. The Department determines the fee or commission to be reasonable and not excessive as compared to similar services.
5. The Contractor may count the entire premium for Performance and Payment Bonds and product-related insurance purchased from a DBE agency.
6. The Contractor may count the entire amount of expenditures to regular DBE dealers for rental of equipment.
7. The Contractor may count the entire expenditures to DBE firms when a DBE subcontracts part of the work of its contract to another firm. The value of the subcontracted work can only be counted if the DBEs subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm will not count toward DBE goal.
8. The Contractor may count expenditure to DBE firms that have contracted to furnish material for the project provided the following are followed. To receive credit for this, the DBE firm must perform a commercially useful function.
    a. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of meeting DBE goals.
    b. The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract.
    c. The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.
    d. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.
    e. The DBE may also lease trucks from a non-DBE and is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since their services are not provided by a DBE.
    f. A lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck.

**Note: Leased trucks must display the name and identification number of the DBE Subcontractor.**

9. DBE credit for furnish, haul and place GAB may only be allowed if the DBE purchases the stone, hauls the stone, and places the stone—using a spreader owned by the DBE and operated by personnel on the DBE Subcontractor's payroll.

**Immediately bring any situation that appears to be strictly a material "pass-through" to the attention of the Office of Contract Administration.**

**D. Department Contracts**

DBE firms are given the opportunity to perform designated Work on Department Contracts. The Prime Contractor may perform or order Work assigned a DBE Subcontractor in order to prevent delay in completing the project; however, no DBE credit is allowed for Work unless it is performed by an approved DBE.

The above instructions do not apply if the Prime Contractor is a DBE firm, and the firm may subcontract Work, subject to meeting the Contract requirements.

The Department will not tolerate fronts, shams, or pass-through. The Area Engineers, Project Engineers and inspectors ensure that the DBE Program is properly administered. When a violation of DBE participation occurs, the Department takes appropriate action (against the Prime Contractor and any involved Subcontractors as well as the DBE). The Area Engineer reports any situation that may require investigation to the Office of Contract Administration.

### 2.2 Substitution or Transfer of DBE Commitment

**A. DBE Substitutions**

If the Contractor wishes to substitute one DBE for another, the District Engineer may approve the request and send a copy to the Office of Contract Administration and the EEO Office. A simple letter from the Prime stating they could not get the DBE to perform will not be accepted as documented evidence that a good faith effort was made. Substitutions of DBEs will only be allowed if acceptable documentation is provided. The Contractor's request for substitution must have supporting documentation with reasons for the substitution, including a release from the original DBE stating that there is no objection to the substitution.

Documentation can be in the following forms:

1. Release signed by the designated DBE.
2. Written efforts on behalf of the Prime or Subcontractor, if the DBE is a 2nd tier Subcontractor.
3. Phone logs and/or registered letters supporting efforts to get the DBE on the Project to perform work.

   The Prime Contractor will not be allowed to perform the work designated for the DBE, unless prior approval is given.

**B. DBE Transfers**

The Department of Transportation does not transfer DBE shortfalls. The EEO Office will have the final determination on shortfalls. If a shortfall occurs on a project, the Contractor shall submit a letter to the Project Engineer giving the reasons why the shortfall occurred and their attempts to fulfill the goal providing documentation that they have made a good faith effort. The Project Engineer shall review the letter and forward to the District with information as to why the shortfall should or should not be accepted. The District Construction Engineer shall then review and make any additional comments before forwarding by letter to the Office of EEO for their final ruling. The Office of EEO will review and make a determination; the Office of EEO will then send the Contractor a final determination with copies to the District Office and the Office of Contract Administration. Copies of all correspondence shall be sent to the Office of Contract Administration. Every attempt should be made to achieve the set DBE goal on projects as stated in the contract before any ruling will be made.

## 3.0 Diaries

Two diaries are discussed in this section the Contract Diary and the Inspector Diary.

### 3.1 Contract Diary

The Contract Diary is a record of the construction activity and time charges on the Project. The Project Engineer (or a designated representative in the absence of the Project Engineer) must make daily entries in the Contract Diary. The diary must be accurate and up to date at all times unless an official time suspension is in effect. The diary is the source record of working conditions and of work performed.

The Area Engineer ensures that appropriate daily diary entries are being made by occasionally reviewing the Contract Diary for each Project in the area.

**A. Contract Diary Contents**

The Contract Diary should contain the following items:

1. Date—Include the date on each page.
2. Weather and Temperature—Record the current weather and temperature on each page except weekends and holidays when work is not in progress. However, document weather or other occurrences on weekends or holidays that affect progress of the Work on the next daily entry. If extreme weather conditions affect a job, make a special notation in the diary.
3. Instructions given to the Contractor—Note instructions given or received in the diary. Some of these instructions are verified in writing, so referring to these letters in the diary can be useful as a cross-reference.
4. Instructions received from supervisory personnel—Note instructions given or received in the diary. Some of these instructions are verified in writing, so referring to these letters in the diary can be useful as a cross-reference.
5. Unusual Events—Record any unusual events or circumstances that occur on the Project.

6. Contractor's Representative—Record who the Prime Contractor's superintendent or representative was for that day, and record who the Subcontractor's representatives on the Project are, especially DBEs.
7. Contractor's Activities—Enter a brief description of the Contractors and Subcontractor's major activities, and note the start and completion for such activities. Record site times, milestone events, such as traffic shifts, bridge openings, or completion of distinct elements of work. Maintain small amounts of Force Account Work or extra Work in the Contract Diary. Refer to Force Account work or extensive extra work in the Contract Diary; however, maintain a separate daily diary for such work.
8. Visitors—Record the names of visitors to the Project.
9. Remarks—This section contains Project-related remarks that can be used to establish Project history.
10. Signature and date—The Project Engineer or a designee signs and dates the Contract Diary daily.
11. Project Number –Record the entire Project Number on each page, whether in a bound or unbound diary.

**Note: Personal opinions are not to be included in diaries!**

### B. Contract Diary Policies

Follow these departmental policies concerning Contract Diaries:

Keep the Contract Diary in the bound book furnished by the Department.

If more than one book is required, number the books in chronological order. The Project number(s) and the diary number must be permanently marked on the front of each diary.

Entries are not necessary on weekends or holidays when no work is in progress.

Make all entries in ink (black or blue).

Projects of short duration can be kept on individual diary pages and maintained in the project files.

Contract diaries shall be kept in the Field Office or Area Office. They are not to be removed from the project unless approved by Area Engineer.

### C. Contract Time

The Contract Diary is the official record of Contract Time (see Subsection 101.19 of the Specifications). Daily entries are necessary for proper documentation. See Section 108. Record items in the Contract Diary using the following guidelines:

- Liquidated damages are assessed on Projects until Time Charges are stopped. Subsection 108.08 states, "The Department may waive such portions of the liquidated damages as may accrue after the Work is in condition for safe and convenient use by the traveling public." Approval to waive liquidated damages before stopping time charges must be formally requested and must be approved by the Chief Engineer.
- Contract Time is stopped only when all Contract items are satisfactorily completed as stated in Subsection 108.07.G of the Specifications (except as stated below). The opening of a section of roadway to traffic does not automatically stop Contract Time when pay items remain to be completed.
- The Chief Engineer must give prior written approval whenever Contract Time is stopped before completion of all pay items or when liquidated damage assessments are waived. . On Full Oversight projects (FOS), the Federal Highway Administration must give prior approval.

### D. Contract Diary Maintenance

Maintain the Contract Diary as follows:

The Project Engineer or a designated representative maintains a separate Contract Diary for each Contract.

Routine daily diary entries are unnecessary on Contracts not requiring a Progress Schedule Chart (such as long-term completion date resurfacing Contracts) until the work begins. Examples of entries that should be made are:

1. Instructions to the Contractor to perform maintenance work
2. Unusual weather
3. Usual traffic conditions or traffic accidents that may affect the work

Contract Diary entries may be suspended when an official time suspension is in effect; however, record the official time suspension in the diary and record significant events. When the time suspension is ended, resume the Contract Diary entries.

The Contract Diary should remain open and active until the Final Package is transmitted to the District Office. The Project Engineer or designated representative shall maintain the Contract Diary.

While the Contract Diary is in the Area Office, Project personnel should make an entry in the diary for each day that personnel work on the Project or in the office preparing supporting documentation for the Final Construction Report.

Send all Contract Diaries with the Final Records Package to the District Office.

### 3.2 Inspector Diaries

Inspector Diaries are not mandatory; they are intended to supplement the Contract Diary.

Project Inspectors use Inspector Diaries on Projects where the amount of detailed information is greater than can be accommodated in the Contract Diary.

The Area Engineer determines whether Inspector Diaries are to be used on each Contract or phase of the work.

Since the Project number(s) in the Contract are shown on the cover of each Inspector Diary, it is unnecessary to list the Project number(s) on each page. However, when you enter data pertinent to a specific Project of a Multi-Project Contract, include the specific Project number in the entry.

Daily entries are not required. Only make entries to document problems, unusual situations, etc., and the actions taken to resolve them.

**NOTE: Do not use Inspector Diaries to document quantities for payment.**

Ensure that entries in the diary are made in ink and are signed by the person making the entry.

Send the diaries to the Area Engineer's office or the Project office after the construction phases for which the diaries have been maintained are completed. File the diaries at the Area Engineer's office or the Project office.

The Contractor cannot review an Inspector Diary or the Contract Diary without proper approval. See 6.0 Guide for Review of Project Records.

## 4.0 Document Control Logs (and Equipment Lists)

### 4.1 General

Document Control Logs are required on all Projects.

Equipment Lists are not required on Projects (*except as noted*)

Equipment documentation is necessary for the determination of eligibility for DBE credit; project personnel must document DBE subcontractor's equipment on the Project. Use the following criteria to determine when you should document equipment:

- DBE credit given for furnishing, hauling, and placing quarried materials.
- To obtain DBE credit, the DBE Subcontractor must use his or her own equipment to furnish and erect structural steel, other large volume or high dollar items.
- Show the arrival and departure of major equipment in the diary.

Use the Report of Contractor Equipment to document the equipment on the Project when equipment documentation is necessary. The Contractor's weekly printout may be substituted for the Report of Contractor Equipment; however, the Contractor's equipment must be verified and updated just as the typical equipment list must be updated at least once per week (more often if major equipment moves take place).

Maintain document control logs on Projects with the current form or computer-generate a comparable form.

The policies contained in this General Section in no way alter the requirements of Specifications Subsection 105.13, "Claims for Adjustments and Disputes."

## 5.0 Engineering Auditing

### 5.1 General

The Project Engineer is responsible for updating and maintaining the project records to support progress and final payments. The Office of Contract Administration is responsible for performing audits to ensure that the records are properly maintained.

For more information, please see Section 109 of the Specifications.

### 5.2 Audit Procedures

Records kept by Department personnel are subject to review by auditors from the Office of Contract Administration, the Office of Internal Audits, and the FHWA. Inform Inspectors that they are responsible for all source records and are subject to audit at any time.

Auditors from the Office of Contract Administration audit project records as the Work progresses—on a 30-day cycle. They conduct audits for specific projects according to current Department policy. Larger projects with an extended construction life require auditing on a monthly basis, whereas smaller projects may be audited less frequently.

Large volume items, such as tickets and earthwork cross-sections may be subject to a random sampling audit according to current audit policy. Audits include a periodic operational audit of the materials documentation. After completing each pay item, auditors determine if the quantities are paid according to the Contract and contract documents.

Explanations of minor overruns or underruns are unnecessary, however the auditor ensures that any significant changes from the plan quantities are well documented and that project personnel have revised the "As-Built."

The auditor checks Materials Allowances and Time Charges on a regular basis. The auditor also ensures that copies of the Construction documentation (Construction Information; Sampling, Testing and Inspection Information; Standards and Construction Details) are available and are maintained and revised as necessary.

The auditor audits sampling and testing procedures to ensure that testing personnel follow them correctly. The auditor performs audits determining the frequency of sampling, testing and materials conformance periodically to ensure that materials incorporated into the Work comply with Specifications.

The auditor is responsible for the auditing of administrative procedures. The Contract Diaries, Document Control Log, and other related files are checked regularly by the auditor to ensure that these documents are maintained according to Departmental procedures. The auditor reviews the DBE Participation Report and any documentation necessary to verify the participation of the DBE Contractor in the Work.

### 5.3 Audit Exception Reports

It is necessary to report audit exceptions to maintain complete and consistent project records throughout the State. The Audit Report list discrepancies found so that corrections can be made; the report is maintained in the project audit report file. The auditor distributes the Audit Report according to the following guidelines:

- Following one audit cycle, if you have not corrected the discrepancies, the auditor provides a copy of the Audit Report to the Project Engineer.
- If, after the third audit cycle, you have not corrected the discrepancies, the auditor distributes the report to the Project Engineer with copies to the Area Engineer and the District Construction Engineer.
- If the problem persists after the fourth audit cycle, then the auditor distributes the report to all the personnel listed on the Audit Report form.
- The auditor immediately distributes an Audit Report listing major findings to the full distribution list. The auditor also includes recommendations for correcting the problem on the Audit Report.
- The auditor attaches a Final Audit Report to all Final Construction Reports.

### 5.4 Project Inspections

Office of Contract Administration auditors make periodic field inspections of project Work. These project inspections are conducted to ensure compliance with Departmental guidelines and to verify the accuracy of quantities reported for payment. The project inspection is critical in protecting the integrity of the Department's payment system. The project field inspection is reported to the Office of Contract Administration.

## 6.0 Review of Project Records

### 6.1 General

As provided in Subsection 106.03 of the Specifications, upon request, copies of the Department's test reports will be furnished to the Contractor's representative. The Project Engineer needs to furnish copies of test reports, when requested by the Contractor's representative, by transmittal letter and place a copy of the letter in the project files documenting test reports furnished.

All other requests to inspect and/or copy the Department's records shall be immediately hand delivered or faxed to the District Legal Services Coordinator ("DLSC"). The DLSC will respond to the request.

### 6.2 Depositions of Non-Party State Employees

Department personnel shall follow this policy when subpoenaed or requested to give a deposition or a statement in a case related to the employee's duties but in which he or she is not a defendant.

**A. Deposition Policy for Department Personnel**

1. Any employee of the Department of Transportation who is subpoenaed to appear, requested to make a statement, or asked to be interviewed by an attorney or investigator concerning any matter related to the employee's duties should immediately contact the District Legal Services Coordinator for assistance before consenting to make a statement, be interviewed, or complying with the subpoena.
2. District Legal Service Coordinators, upon being contacted by an employee, need to immediately contact the Attorney General's Office to seek advice and assistance in the matter. Upon consulting with the Attorney General's Office, the DLSC will insure that the employee is advised on what course of action to follow.
3. Communications about these matters shall be appropriately marked as Attorney-Client privileged. Copies of any communications on this subject should be sent to the District Engineer and the Director of Field Districts.

# 7.0 Federal Highway Administration Role

## 7.1 Oversight Requirements

Federal-Aid Projects may have different oversight requirements, depending on the type of Project. These requirements include the inspection and the approval of Projects by representatives of the Federal Highway Administration (FHWA).

## 7.2 Transportation Engineer's Responsibility

The field representative of the FHWA is normally the Transportation Engineer.

The Field Representative's responsibility may include one or more of the States Department Districts.

The Transportation Manager supervises the Transportation Engineers who work within the FHWA Division Office. The Division Administrator, who is responsible for the State of Georgia, manages the FHWA Division Office.

## 7.3 Field Inspection

The Transportation Engineer and/or other representatives from the Division and Office may visit the field and project offices to ensure that engineering and administrative practice are according to Federal regulations. FHWA representatives have no direct authority in the Department's dealings with Contractors and may not issue instructions to the Contractor or Department personnel. However, they are an essential part of the project team. The Department fosters a cooperative, friendly, and open relationship with the FHWA. Assist the FHWA representatives when they visit a Project.

The types of Projects in which the FHWA Transportation Engineers will be involved are listed in the table below.

| Type of Project Oversight | FHWA |
|---|---|
| Exempt | No Involvement |
| Full Oversight (FOS) | Full Involvement |
| Project types are Exempt, and Full Oversight (FOS). These are shown in the description of the projects on the reports originating from the BAMS System | |

FHWA Division personnel may make in-depth phase and stage inspections at appropriate times on Projects they select as representatives of the work in progress in the State. During these inspections, all requested information should be given to the FHWA representatives.

**Full Oversight (FOS).** The FHWA Transportation Engineer makes periodic construction inspections on Full Oversight Projects. The Transportation Engineer must approve all changes, such as Supplemental Agreements or Time Extensions if Federal Funds are expected to be used for these changes.

The District Construction Engineer and/or the Construction Liaison Engineer usually accompany the FHWA Transportation Engineer during these inspections.

# 8.0 Payrolls

## 8.1 General (Federal-Aid Provisions in the Contract)

The Department requires collection, inspection, and verification of Contractors' payrolls on most Federal-Aid Contracts as described in the Special Provision "Required Contract Provisions for Federal-Aid Construction Contracts." This requirement is included in the Contract so project personnel can monitor wage rates established for labor classifications on the project. The wage rates included in the Contract are the predetermined minimum wage rate for the listed labor classification.

The Prime Contractor and all Subcontractors must submit payroll to the Department within three weeks of the end of the reported weekly pay period. If payrolls are delinquent, the Department will notify the Contractor that all payments will be withheld until all payrolls are current within the three-week period.

When the Contract contains provisions requiring Contractor payrolls, the Prime Contractor furnishes the Project Engineer with two copies of weekly payrolls of wages for hourly employees working on the project during the preceding weekly payroll period.

The Prime Contractor must also provide two copies of certified payrolls for any employees of approved Subcontractors that work on the project.

The verification of payrolls by project personnel is to ensure that laborers, mechanics, and other hourly employees are paid correctly. Submittals of payrolls by Subcontractors that employ professionals, such as design firms or surveyors, are not required. It is also not necessary for the Prime Contractor to submit "No Work" payrolls.

## 8.2 Project Payroll Review

### A. Payroll Copies

After receiving the payrolls, the Project Engineer retains one copy with the project records and forwards one copy to the District EEO Officer. At the beginning of Work and continuing until the Work is under way, the Contractor and/or Subcontractor payrolls should be carefully checked for compliance with the following items:

1. Payrolls submitted must contain complete information for each employee:
    - Name address, last four numbers of the Social Security number
    - Correct job classification
    - Hourly wage rate (including contributions or fringe benefit costs)
    - Daily and weekly number of hours worked
    - Deductions made
    - Actual wages paid
    - Sex
2. Each employee must be correctly classified in accordance with the work performed.
    - Certified Payrolls are required for all Mechanics and Laborers (this includes operators) employed on the job site.
    - Certified Payrolls are not required for supervisory or technical personnel such as foremen, superintendents or survey personnel.
    - Payrolls are not required for Truck Drivers who are delivering materials to the job site from a remote commercial source.
    - Payrolls are required for Truck Drivers who perform work on the job site. This would include such activities as trucking excavated material from one point on the project to another point on the project.
    - Payrolls are required for "Owner Operator" who performs work on the project site; however, no rate of pay or hours need be shown. Instead, the notation, Owner Operator needs to be shown.
    - Drivers employed by an "Owner Operator" must be reported on payrolls when working on the job site with all the normal information regarding hours worked and rate of pay.
3. Each employee must be paid at an hourly rate not less than the wage rate established for the Work classification. Pay rates for Work classifications not included in the Contract must be addressed as outlined later in this section.
4. Overtime wages are paid at a rate that is not less than one and one-half times the basic hourly rate. Overtime pay is calculated for hours worked in excess of forty hours during any work week.
5. To ensure payroll calculations are correct, the Department may make spot checks on the mathematics of any manually produced payrolls.
6. Each apprentice and trainee must be registered under an approved program and a wage rate is established for each classification involved. If the trainee is registered under the Georgia on-the-job training program, he or she is paid according to the 60%/75%/90% progressive wage rate.

    If the Contract contains a skilled worker wage rate for that classification, then the wage rate for the trainee is established and there is no requirement to submit an Additional Classification and Wage Rate Request.
7. The Department takes no unauthorized deductions.

8. A "Statement of Compliance" accompanies each payroll. The statement is by an agent of the employer certifying that the information submitted is complete and correct.

**B. Spot Check**

When the Project Engineer has determined that the Contractor and/or Subcontractors are submitting satisfactory payrolls, the Project Engineer may discontinue detailed checking and a spot check of payrolls may be used.

**C. Errors**

Bring errors in the payrolls to the attention of the Prime Contractor for correction. The Project Engineer notifies the Prime Contractor of the deficiencies in writing. Send copies of this letter and copies of the payroll in question to the Office of Construction – Liaison and to the District EEO Office.

**D. Incomplete or Inaccurate Records**

If the Prime Contractor or Subcontractor continues to submit incomplete or inaccurate records, the Department may withhold progress payments. Before withholding, the Area Engineer shall notify the Prime Contractor of the deficiencies in writing.

**E. Labor Interviews**

The Department conducts labor interviews of the Contractor's and subcontractor's employees, including trainees; a minimum goal of 3 Labor Interviews per month on Prime Contractors and 3 per month on Subcontractors active on the project shall be conducted on all Federal Projects to verify payroll information. The Department does not interview the same employee more than once in 6 months. These interviews are documented on the Department's Labor Interview Form and made part of the project records.

Area Engineer shall compile a report stating the total number of labor interviews conducted each quarter in their Area and submit the report to the District EEO Officer within 10 calendar days after the end of each quarter March 31 – June 30 – September 30 – December 31.

## 8.3 District Payroll Review

**A. Responsibility for District Payroll**

Responsibility for District payroll review is explained as follows:

1. The District Office is responsible for ensuring that project personnel comply with requirements placed on the Department by the Labor Compliance Manual and Chapter 15 of the DOL Field Operations Handbook. The District Office should not duplicate work performed by project personnel.
2. The District EEO Officer reviews the payrolls.
3. The District Engineer makes the decision to withhold monthly payments due to labor standard violations.
4. The Final Acceptance and Final Payment of a Contract are withheld until the Office of Construction-Contract Liaison Manager or Office of EEO notifies the Prime Contractor the all Labor Compliance violations are resolved.
5. The District EEO Officer should retain a copy of the payrolls for six (6) months.

## 8.4 Wage Rate Classifications

**A. Pay Rates/Work Classifications Not Included in Contract**

Pay rates for Work classifications not included in the Contract are addressed using the following procedure:

1. The Contractor shall submit a Wage Rate Request Form, FHWA 1140, through the Area Engineer for any employee, including subcontractors, that are listed on the payroll but do not have an established work classification in the contract.
2. The Area Engineer shall forward this request in writing to the State Transportation Office Engineer for a new classification.
3. Submit a copy of the schedule of appropriate wage rates with the Wage Rate Request Form sent to the Office of Contract Administration.
4. The request will be forwarded to the Department of Labor for review and approval.
5. The Department of Labor's ruling will be sent by letter to the Area Engineer for use on the project.
6. Approved Wage Rates are Contract specific and can not be used on any other contract.

# 9.0 Project Records

## 9.1 General Content of Project Records

Project records contain the construction facts and are:

- Current
- Complete
- Legible
- Well-organized
- Concise

Original source payment documents are contained within the Project records. These source documents show:

- Project number
- County
- Calculation methods used
- Signature of the person(s) preparing or certifying the record
- Date and location (station) and the name of the Contractor performing the work

Note on the source document the Work or materials that are exceptions and do not meet specifications or Contract requirements.

The Inspector's Reports Forms have been designed to satisfy the above criteria. The forms are listed in the Inspector's Reports information of this section.

## 9.2 Maintaining Project Records

The Project Engineer maintains adequate Project records to support quantities certified for payment. The Area Engineer's certification on monthly statements and construction reports ensures:

**Note: Quantities and calculations are to be accomplished by project personnel. Specific items can have contractor's input with measurements, (i.e. lengthy striping projects). Generally, contractor's measurements shall not to be used for payment but can be used for comparison with project personnel calculations and measurements.**

- The Work is done by the Contractor.
- The records are adequate and document that the Work was performed.

Project documentation and record keeping may be delegated to other personnel; however, the Area Engineer is still responsible for maintaining the records. The person keeping the records must have the following abilities:

- Have a working knowledge of the plans
- Have a working knowledge of the Specifications and Contract requirements
- Be able to perform calculations
- Be able to obtain and maintain source documents

Necessary DOT and FHWA manuals, memorandums, and procedures are accessible to Project personnel.

## 9.3 Protecting Project Records

Project records shall be kept in a secure place, preferably fireproof cabinets, files, or boxes. "As-Built" plans should be kept in fireproof cabinets if possible when not in use. On large or multi-project Contracts, the Special Provisions requires additional fireproof file cabinets for the Engineer's office. This recommendation is made in the Field Plan Review.

Section 153 of the Specifications directs that the Field Engineer's Office be reserved for the exclusive use of the Department's personnel. This specification prohibits Department personnel and Contractor personnel from sharing an office. Project records are maintained in a separate and secure facility.

The Project Engineer shall not request additional items from the contractor such as telephone lines, FAX machines, etc. for the Field Office. Only those items specified in the Contract, Special Provisions and Specifications shall be in a Field Office. Added equipment encourages Contractor's personnel to spend more time in the Department's field office and may compromise the security of the Project records.

### 9.4 Documents

The term "document" refers to letters, Material Allowances, shop drawings, Subcontract Approval Requests, Allotment Requests, Project Schedule Charts, Request for Time Extensions, etc. All documents, including correspondence and written instructions issued to the Contractor shall be made a part of the project records.

Use the Document Control Log on all projects, except for LARP and normal resurfacing projects, unless requested by the Department. Maintain it on the form currently contained in the on line forms or on the software in use on selected projects.

The Document Control Log is designed to identify and track all incoming and outgoing documents. It provides a reference of the history of each document processed and its status at any given time. To be effective the Document Control Log must be complete and up to date, with dispositions noted.

All essential projects related documents shall be noted in the Log. Some documents that are exceptions and do not have to be logged are Construction Reports, Contractor Payrolls, Test Reports, DBE Reports and other reports that are issued on a specific cycle or are generated by the Department.

### 9.5 Equipment Lists

Equipment Lists are not required on Projects.

Note arrival and departure of major equipment in the project diaries.

Project personnel are responsible for the documentation of DBE owned equipment on the project, especially when necessary for the determination of eligibility for DBE credit. Items that must continue to have equipment documented are:

- DBE credit for the furnishing, hauling and placing of quarried materials.
- Furnishing and erection of structural steel, or any other big-ticket items that require the DBE Subcontractor to use major pieces of his or her own equipment to perform the work to obtain credit.

Note arrival and departure of major equipment in the project diary.

The above guidelines do not relieve project personnel from the documentation requirements contained in Subsection 105.13 of the Specifications.

### 9.6 File Management System

The File Management System is a directory of files necessary for managing the administrative requirements of a Georgia Department of Transportation (GDOT) Contract. The Project Engineer maintains these files or delegates the task. Not all files are mandatory for every project. On smaller projects many of the files may be combined. Get with the Auditor for help before setting up folders.

Additional files may be required, such as:

- Force Accounts
- Time Extension Requests
- Shop Drawing Submittals
- Claim Notices

Contracts with multiple projects will have some duplicate folders (i.e., construction reports, vouchers, etc.) these folders need to be color coded with the individual project listed on the tab.

The following is a list of files contained in the File Management System:

**NOTE: Post an index of the files by numbers on the fireproof file cabinet drawer. Consult the Contract Administration Auditor concerning File System questions.**

**A. Administrative**

1. Contract
2. Document Control Log

3. Correspondence
4. Audit Reports
5. Material Certificate Checklist
6. Approved Subcontractors (duplicates—the original shall be placed in the Correspondence File)
7. Contractors Performance Reports
8. Detailed Estimate and Construction Reports
9. Construction Vouchers
10. Contract Status Reports (if applicable a separate folder for Project Generated Summary Reports)
11. Progress Schedule Chart or CPM Update Submittal
12. Approved and Requested Supplemental Agreements (can place requests and approvals in separate folders or make separate files for each Contract Modification)
13. Training Program (copies shall be placed in the Pay Item Folder. Separate files can be made for each of the Trainees on projects that have multiple trainees.)
14. DBE Plan and Quarterly DBE Participation Reports (if required)
15. DBE Truck Hauling Plan (if needed, required on projects let before 2000)
16. Erosion Control Permit and Approved Erosion Control Plan, (also NOI/NOT documentation)
17. Project Rainfall Data
18. Erosion Control Inspection Reports (Separate folders can be set up for individual reports)
19. Traffic Control Inspection Reports
20. Accident Reports (if necessary)
21. Contractor Payrolls (separate files for each Contractor)
22. Labor Interviews
23. Equipment List (if needed)
24. Drainage X–Section Plots (Subsection. 149.1.03.C)
25. Best Fit Profile Plots and Calculations (Subsection . 149.3.03.B)
26. Permits (if applicable) 404, Encroachment, etc.
27. Utility and Railroad Agreements

**B. Payment Documentation**

Use the following guidelines when handling payment documentation:

1. If the Project is part of a Multi-Project Contract, color-code the File System tabs.
2. File Pay Item Reports by Line Item Number (LIN) and label as shown in the example below:

**LIN 0010 ITEM 150-1000**

**Traffic Control**

3. File the Pay Item Reports in the LIN folder, and place those folders in a holding area in front of the pay item files for that project, until audited. The LIN folder should not be filed until audited. (Get with Auditor for individual variations)
4. File the Training Program approvals with the LIN File for Training Hours.
5. Material Allowance corresponds with the LIN on the Construction Report either add a new LIN file with the MA designation after the LIN (i.e., LIN 0045MA) or place in the existing LIN file for the appropriate item. Also make LIN files for items added by Supplemental or Extension Agreements.

6. Create and incorporate a separate, clearly marked, "Attorney-Client Privilege" file into the File Management System if any of the following conditions exist:
    - Anticipation of a claim
    - Written notice of claim filed
    - Claim submitted
    - Anticipation of a lawsuit
    - Lawsuit filed on a project

**NOTE: Create this file whether or not attorney-client documentation currently exists.**

Attorney-Client privilege documents include the following:

- Correspondence to or from the Attorney General's Office, including Special Assistant Attorneys hired by the Attorney General's Office to represent the Department.
- Correspondence or other documents responding to the Department's attorneys.
- Information compiled, generated, or obtained as a result of a request or inquiry from the Department's attorney. (This includes documents prepared by another GDOT employee who is responding to a request from the Department's attorney.)
- Any documentation requested by the Office of Construction Claims. These requests may be letters or informal notes documenting a conversation. The Office of Construction Claims works at the direction of the Department's attorneys.
- Notes, handouts, or information compiled from a meeting with the Department's attorneys or with anyone from the Office of Construction Claims.
- Documents compiled or created by GDOT employees or consultants employed by the Department in anticipation of litigation that are not created in a normal course of business, whether or not the Department's attorneys are involved.

**NOTE: "Attorney-Client Privilege" files are RESTRICTED FILES. Never give these files to anyone outside the Department except the Department's attorneys.**

Once an attorney-client privilege document is disclosed, whether intentionally or unintentionally, that document is no longer privileged and may be used for whatever purposes the other side desires.

Consider a document to be attorney-client privilege if in doubt about its status. Contact the Office of Construction Claims for further assistance.

**C. Materials Test Reports and Invoices**

The following are Materials Test Reports and Invoices:

- Asphalt Job Mix Formulas and Asphalt Paving Plans
- Item 310 Test Reports-Compaction Results and Depth Checks
- Concrete Test Reports (DOT-319)
- Concrete Tickets (Concrete tickets should be grouped as per submitted DOT-319 with a copy of the submitted DOT-319)
- Pipe Invoices and Mill Certification
- Rebar Cut Sheets and Lab Submittal (File by Structure)
- Soil Survey/BFI
- Miscellaneous Test Reports - *file separately by item* - (Piling, Strain Poles, Deck Panels, Guardrail, etc.)
- Disposition of Failing Materials

Note: Test reports pertaining to pay factors need to have a copy filed with the appropriate pay item folder (example DOT-319, with the Asphalt Item)

Invoices with material source and quantities can be filed within the appropriate pay item folder. Get with the **Auditor** for assistance.

**D. Weight Tickets**

Follow these steps when filing Weight Tickets:

1. Group Weight Tickets together by pay period for Graded Aggregate Base (GAB), etc. and by lot for asphalt.
2. Place these tickets into an envelope and label with the Line Item Number (LIN), description, dates, lot number, and tons/MG. (this can be done on computer generated sheet and taped to front of envelope)
3. Place the appropriate daily tare weight sheets with the weight tickets if received from contractor.
4. Keep Weight Tickets in a fireproof file cabinet because they are the source document for payment of unit weight items (if possible).

**E. References**

The Area Engineer ensures that the reference manuals listed below are available to project personnel at all Project field offices.

- Complete Set of Georgia Standards and Construction Details
- "As-Built" Set of Project Plans (current revisions)
- Manual of Uniform Traffic Control Devices (Part 6)
- Supplemental Specifications
- Laboratory Standard Operating Procedures (SOPs)

**F. Survey/Layout Data**

The Project Engineer collects survey/layout material required and stores it in the fireproof file cabinet.

## 10.0 Public Relations

### 10.1 Project Engineer

The Project Engineer is critical to the Department's public relations effort. The Engineer represents the Department to people who live alongside the construction site and to the traveling public.

Because taxes finance the construction and salaries of the people doing the Work, highway users and others impacted by the Work must receive courteous treatment at all times. The Project Engineer should always be willing to discuss issues with those affected by the project and to give their concerns serious consideration.

Many services such as mail delivery, daily food delivery, or school bus routes require special handling. Businesses along the construction project also may have unique situations. The Engineer monitors the Contractor's efforts to provide reasonable and safe access to homes and businesses at all times during construction.

The Project Engineer seeks the cooperation of the Contractor in providing necessities required by the public. Arranging construction schedules and goodwill gestures alleviate some of the impact of the construction on the local area.

The Project Engineer also has contact with elected or appointed officials that represent the local residents. As their representative, these officials relay complaints about the construction to the Engineer. Inform these officials as early as possible about the proposed Work and the schedule of operations, as well as of any change in plans or scheduling. This allows them to be aware of the status of the project when called by their constituents. The cooperation of the local officials is vital to the Department's public relations effort.

The press may also take an interest in local construction projects. The Engineer represents a public agency spending public money and is not entitled to withhold information from the press. The Engineer should confine remarks to the press to the areas over which he or she has personal knowledge. An atmosphere of mutual goodwill with the local press is a giant step toward achieving good public relations. For more information, refer to the guidelines about requests for reviewing project records in Section 6.0 - Guide for Review of Project Records.

The Office of Communications should be contacted when inquiries from the press are received.

The Project Engineer should not be publicly critical of the policies of the Department of Transportation, and the Engineer is not entitled to offer public criticism of other Department personnel or local political figures. The Engineer should politely turn aside any questions directed to these subjects.

### 10.2 Public Relations Guidelines

Use these guidelines mainly on non-interstate widening or reconstruction projects. However, the Project Engineer applies them to any project that impacts homes, businesses, and public facilities adjacent to the project.

Section 150—Traffic Control and the Special Provision, "Sequence of Operations" provide specific direction for maintaining traffic and restoring the Right-of-Way adjacent to private property. Additionally, specific action is required to help the public accept changes to their personal property, business, or travel patterns.

**A. Specific Actions**

1. Before beginning the Work, notify residents and businesses that are impacted by the construction project. For very small projects, this may be done by personally contacting individual homes and businesses. For larger projects, distribute fliers to those affected. Print the following information:
   - Project number and description
   - Beginning and target completion dates
   - Project Engineer's name, phone number, and field office address (Business cards may be obtained by the Project Engineer for distribution to property or business owners.)
   - Contractor's name, superintendent's name, phone number, and address
   - Any special travel or staging information
   - After-hour emergency telephone number 1-800-635-8287
2. Notify residents and businesses impacted by detours, shifts, or traffic disruptions in person or by flier at least 7 days before any traffic changes. Advertise significant changes to traffic patterns at least 1 week in advance using local media outlets. Assistance is available through the Department's Communication Office.
3. Advise businesses that temporary owner-provided business signs are permitted on the Right-of-Way, if appropriate, to reduce confusion.
4. Provide detour sketches or explanations to help motorists anticipate changes. Do not rely solely on traffic control devices.

## 11.0 Retention of Project Records (DOT Records Retention Manual)

### 11.1 General

State law requires the Department to keep records for all Projects for 7 years after final payment to the Contractor.

The Federal Highway Administration (FHWA) requires the Department to keep Project records on Federal-Aid Projects for 3 years after final reimbursement to GDOT. This regulation includes all Contracts and utility and railroad agreements on a Project.

To meet retention requirements, the Department keeps records on all Contracts, utility and railroad agreements on a Federal-Aid project for a period of 7 years after the District Office receives a letter from the Office of General Accounting stating that they have made final payment of Federal funds to the State on the voucher submitted for the Project.

**A. Project Record Retention Guidelines**

Use these guidelines in retaining Project records:

1. When a single Contract is completed, the Area Engineer transmits all records, source documents, and the final statement or Construction Report to the District Office, which maintains the records for 7 years.

   When the 7-year record retention period expires, the District Office submits diaries (Contract and Inspector) and Inspector's Pay Item Reports to the Records Management Office in the General Office. The General Office transfers the records to the State Records Center for an additional 13-year retention period. The General Office may destroy any records not submitted to the Records Management Office at the end of 7 years.

## 12.0 Utility and Railroad Installations or Adjustments

This section contains the following information about utility and railroad installations and adjustments:

- Coordination and sequence of Work

- Notification of starting and completion dates
- Construction inspection of utility and railroad agreement Work
- Work record maintenance
- Changes in approved Work
- Inspection of recovered materials
- Agreements for Projects involving railroads

## 12.1 Policy and Standards

The Utility Accommodation Policy and Standards Manual (current edition) contains the Department's policies and standards for handling utility facilities within highway Right-of-Way and Projects. The Utilities Section of the Department's Transportation On-Line Policy and Procedure System (TOPPS) supplements the Utility Accommodation Policy and Standards Manual.

The Area Engineer uses the Utility Accommodation Policy and Standards Manual and the Transportation On-Line Policy and Procedure System (TOPPS) to establish the final location of utilities when:

- Project plans do not show the location of utilities.
- Project plans must be changed due to conditions discovered during Construction.

The Area Engineer, District Utilities Engineer or District Engineer submits any variances to these requirements to the State Utilities Engineer for approval.

## 12.2 Coordination and Sequence of Work

Construction personnel assigned to supervising, inspecting, and keeping records of utility and railroad adjustments and installations should be familiar with the permits, Agreements, Plans, Specifications, and regulations under which the Work is to be performed.

Department personnel should be familiar with the proposed highway construction Plans, Specifications, and sequence of operations to be followed in coordinating utility and railroad Work with highway construction.

After the Work is authorized, the Area Engineer should:

- Make every effort to coordinate the Work of the utility company or railroad, if required, and the Contractor.
- Arrange one or both of the following conferences, depending on the job conditions and the sequence of highway and utility Construction.

**A. Utility Preconstruction Conference**

On complex Projects, the Area Engineer should call a meeting involving utility companies and railroads affected by the Project, GDOT design personnel, GDOT Utilities personnel and GDOT construction personnel. They should discuss and plan a workable sequence of installation, relocation, or adjustments that they can accomplish before highway construction begins.

**B. Preconstruction Conference**

The Department convenes a preconstruction conference with the highway Contractor before beginning Work on each Project. The Area Engineer notifies the utility owners, including railroads, who are expected to attend. Department personnel assigned to utility adjustment Work are also expected to attend. The Area Engineer should provide as much advanced notice about the conference's date and time to utility and railroad companies in order for them to plan accordingly. Other means of communication are available for advance notice such as electronic mail messages. The district Utilities Engineer has addresses on file.

Each utility company discusses the sequence of the adjustment of their facilities in all phases of Construction. The utility company should plan to accomplish utility adjustments economically and conveniently, paying special attention to the public interest, but not adversely affecting the normal operations of the highway Contractor.

The preconstruction conference participants should also discuss the following:

- Location of special situations
- Nature of Work to be done: installing, adjusting, or relocating facilities in special situations
- Estimated time for completion
- Precautions for safety and Specifications for accommodating highway traffic

- Estimated starting date and the Contractor's proposed sequence of operation
- Issues that might affect the sequence of operations to be followed in coordinating construction and railroad or utility Work
- Clearing by the highway Contractor for utilities within the highway Right-of-Way or on the railroad Right-of-Way

## 12.3 Notification of Starting and Completion Dates

The Contractor, including contractors for utility companies and railroads, shall notify the Area Engineer:

- Before starting Work. They should give enough notice to allow the Area Engineer to assign a Department representative to the Project for proper inspection, regardless of the type of Work or agreement.
- When they leave and return to the Project for any subsequent periods of Work that are separate from the initial working period.

The Area Engineer submits the Construction Status Report to the District Engineer and sends copies to the State Transportation Office Engineer and State Utilities Engineer. The Construction Status Report should give the date each company starts and completes Work.

### A. Guidelines for Preparing Construction Status Report

The Area Engineer uses these guidelines for preparing the Construction Status Report:

1. List the utility company or railroad as the Contractor.
2. List dates in this report that cover only the utility company's or railroad's construction Work period.
3. Write all correspondence related to utility and railroad Work under Agreements and reference the Project number, P I number, and County on which the adjustment was authorized. If adjustments are authorized under the Right-of-Way unit, include the construction unit for identification purposes.

Do not include:

1. Time required by the company for preliminary engineering before authorizing the agreement.
2. Time required by the company to prepare final billing.

## 12.4 Construction Inspection of Utility and Railroad Work

### A. Inspecting Utility and Railroad Work

Use these guidelines and the General Billing Instructions in Section 13 for inspecting construction utility and railroad Work:

1. The degree of inspection varies with the nature and location of the utility and railroad Work. Inspection may range from periodically checking overhead installations (such as power and communications) to observing underground installations and backfilling (such as water, sewer, and gas lines) that the utility company's Contractor is placing under or adjacent to the roadway.
2. For utility and railroad Work, the Inspector is the Area Engineer or a designated representative. The Inspector must:
   a. Exercise good judgment about inspection methods and frequency.
   b. Maintain Project records in enough detail to verify that the company has accomplished the Work billed on their invoice.
3. The Department furnishes at least the minimum number of monuments and/or reference points from which the centerline can be established and at least one benchmark. (See Section 149 in the Specifications.)
4. The Area Engineer ensures that necessary highway baseline reference stakes are provided so that construction staking for the installation or adjustment of utilities can begin before the highway Contractor's Work order is issued. Normally, utility companies are responsible for their own surveys and staking.
5. When staking occurs, the Inspector should:
   a. Review plans and discuss highway construction staking with utility company representatives.
   b. Assist the utility company representative in obtaining lines and grades that accommodate the company according to regulations and clear highway construction.
6. After the Work order is issued, the Contractor shall generally be responsible for construction layout, including all line and grade required relocating utilities. If construction layout is not part of the Contract, the Department furnishes utility staking.
7. The Inspector should use this checklist in performing inspections:

a. Ensure that utility company representatives are familiar with the pertinent parts of the highway construction plans, alignment, grades, and Right-of-Way. Ensure that the utility companies have the most current revisions for use on construction (i.e. the construction plans match the utility plans). Provide construction stakes to the utility company to adjust their facilities.

b. Notify the utility company of the location and elevation of highway project benchmarks for use in setting grades for pipelines, structures, etc. Insist that they use benchmarks so that highway and utility grades are based on the same data.

c. Check to see that there is no conflict with all other utility company's facilities or highway construction items. Carefully check for existing or proposed underground structures such as sanitary sewer lines (including manholes), water lines, gas lines, etc., and highway installations such as storm drains, drop inlets, catch basins, manholes, box culverts, and bridges, including planned foundations or footings.

d. Check for lighting, signing, strain poles, and other Items that may not be identified on the initial construction plans. Check the location of all foundations and their proximity to utilities.

e. Verify that overhead installations have the minimum required clearances above the proposed highway.

f. See that the Contractor, utility company, or railroad obtains minimum horizontal clearances between installations and the proposed highway as related to Right-of-Way lines, limits of access lines, back of curbs, etc.

g. Ensure that casings for underground pipe are installed to meet design standards and vent pipes are properly placed.

h. Ensure that manhole covers are installed at the proper grade.

i. Maintain close surveillance of all backfilling operations to ensure that the Contractor, utility, or railroad obtains proper density.

j. Check the overall company operation and keep the Department and the Contractor informed of the status of the utility and railroad work and of any special situations that occur.

8. Projects involving utility permits, document all work under the permit sufficiently to ascertain the Utility Contractor performed the work according to the terms and conditions of the permit, the needs of the highway construction project, and the Department's Utility Accommodation Policy and Standards manual. Also, discuss resolve and document all discrepancies or disputes. Handle utility permits accordingly with technical assistance from the Utilities Office.

## 12.5 Work Record Maintenance

The Inspector maintains a separate file folder and daily diary for each company performing utility and railroad Agreement Work on construction Projects.

The file folder should contain a copy of the Agreement and copies of all correspondence related to the Agreement.

The diary should be detailed enough to allow Department or FHWA representatives to check records and compare the data against any billing or claims submitted to the Department.

### A. Minimum Diary Information

The diary should contain at least the following information, depending on the type of Agreement:

**NOTE: The Inspector should work with the utility company to obtain the following information. If the Inspector cannot obtain this information, he or she should record this in the diary, document efforts made to obtain the information, and give full details to the District Engineer and State Utilities Engineer in writing.**

1. TYPE I – Utility and Railroad Agreement (i.e. "Force Account")—When utility or railroad company forces perform the Work, the project diary should contain the following information:
   - Date and day of the week.
   - Exact location and description of the Work.
   - Labor by name, classification, and hours worked.
   - Equipment used, including details such as the type, size, capacity, etc., and hours worked.
   - Materials. List all major items by size, class, etc.
   - Materials removed from the Project (salvage or scrap). List all items by size, classification, and condition.

- Any condition that might affect the Work, including rock, muck, additional depth excavation, and any other issues that involve the Contractor, utility company or railroad such as drainage, bridges, sanitary sewers, etc. List any significant changes from the original Plans and explain them.
- Any pertinent information about the operation, such as special situations or issues that affect the construction schedule.
- Signature for each entry.

2. TYPE I-A – Utility and Railroad Agreement (i.e. "Continuing or Low Bid Contractor")—When a utility or railroad utilizes a Contractor to perform the Work the project diary should contain the following information:
   - A record of the Work performed by the utility or railroad Contractor on the same basis as outlined in their Contract with the utility or railroad.
   - Records as required for Type I agreements (outlined above) when the utility company has a continuing Contract. In this situation, the company's Contractor shall furnish labor and equipment and, in some cases, materials to perform a portion or all of the Work. The basis of payment to the company's Contractor is for labor and equipment charges incurred under the Contract. When both the companies' Contractor and company forces are to do the Work, separate records of the Work performed by each will be maintained.
   - Project diary as required for Type 1 Agreements (above) if the Contract between the company and its Contractor is on a unit price basis. The Inspector should maintain the diary according to the Contract and Agreement. In this situation, labor and equipment details for company or Contract forces are not required.
3. TYPE II - Lump Sum Agreement—Work under this type of Agreement requires records that document that the Work was accomplished according to the Agreement. Maintain diaries as set forth in the Type I agreements, except labor and equipment details for company or Contract forces are not required.
4. "As-Built" Plans—When the "As-Built" Work of a company varies from the Plans, the company shall indicate the changes on its Plans with a colored pencil and submit the plans to the GDOT Project Manager. These marked plans constitute "As-Built" plans and become part of the Project record.
5. Daily Report Form DOT 2465—Companies use this form when they do not maintain cost accounting or job order records to support billing for their operations, such as Work under Agreements on highway Projects. When the company uses Form DOT 2465 instead of other records, Form DOT 2465 is the source document to support all payments.
6. The completed Form DOT 2465 supports company records for audit purposes and allows the Department and the company to compare notes on their Work records. This form does not relieve highway personnel from the responsibility of maintaining a daily diary, however, when this form is used, it is not necessary to record labor, equipment, or materials in the diary.
7. Use these guidelines for preparing and submitting Form DOT 2465:
   a. The Area Engineer supplies Form DOT 2465 to all companies that use them to record expenses for labor, equipment, and materials used or removed for Work under Agreements with the Department. DOT 2465 can be found in Chapter 6 of the Department's Manual of Administrative Procedures (MAP).
   b. The company representative completes this form in duplicate, signs it, and submits it daily to the Area Engineer.
   c. The Area Engineer verifies all entries and information, signs both copies, retains one copy for the Project records, and sends the other copy to the utility company or railroad.

## 12.6 Changes in Approved Work

### A. Guidelines for Making Changes in Approved Work

Use these guidelines for making changes in approved Work:

1. The Area Engineer may authorize the utility company or railroad to make minor changes to accomplish the intent of the approved Agreement when there is no change in the scope or character of the Work.
2. The utility company or railroad must provide adequate documentation, such as correspondence with the Area Engineer or District Utilities Office. The Area Engineer will send copies of this correspondence to the State Utilities Office if changes are more than minor.
3. The Department (and the FHWA for interstate Projects and other Non-Exempt Projects) must approve changes in the scope or character of the Work covered by the approved Agreement. The District Utilities Office makes a field inspection of the circumstances requiring the change if necessary. To avoid excessive delay to the Project, the FHWA or the State Utilities Engineer may verbally authorize the Work and confirm the verbal authorization by letter.

4. If the approved changes cover additional Work on items outside the scope of the Utility Agreement, or if there is a substantial change in the expense involved, the Area Engineer must prepare a written recommendation for an Allotment Request. For any change in the scope, size, quantity, location or additional items not included in the original estimate supporting the Agreement. The utility company or railroad must provide written support documentation for the Allotment Request by submitting an estimate for the additional Work, including a full explanation of the necessity of the Work.
5. Any company desiring to let to contract all or a portion of the Work under an Agreement may do so if:
   - They are not staffed or equipped to perform Work when needed.
   - It is in the best interest of the Project.
6. All such Contracts, except for minor miscellaneous items, are awarded to the lowest qualified bidder or an existing continuing Contractor regularly doing similar Work under a written Contract for the utility company or railroad at reasonable cost. Work specified as Contract Work in the estimate is approved with the Agreement.
7. After the Agreement is executed, the FHWA must approve any additional Contract Work on interstate Projects, and any Non-Exempt projects. GDOT must approve all other additional Contract Work. Contract approval by the Area Engineer, District Utilities Office, or State Utilities Office is appropriate as the circumstances warrant. However, the Area Engineer must confirm all verbal approvals in writing to the utility company or railroad and send copies to the other two GDOT offices. The Area Engineer determines if contract Work is required and ensures that any contract Work performed is approved.
8. A copy of the Contract serves as documentation to support the Allotment Request on overruns due to Contract bid prices that exceed the original estimate. The FHWA must formally approve any substantial change and the required Allotment Request on all interstate Projects and other Non-Exempt Projects. The Department must formally approve substantial changes and the Allotment Request on all other Projects.
9. The Area Engineer or District Utilities Engineer submits the Allotment Request support, explanations, and recommendations to the State Utilities Engineer, who prepares and processes the Allotment Request.
10. A copy of the approved Allotment Request will be sent to the utility company or railroad, Area Engineer, and the District Utilities Engineer.

## 12.7 Inspection of Recovered Materials

This Item covers materials that are to be disposed of by sale or scrap instead of being returned to the utility company or railroad for stock or reuse.

### A. Guidelines for Inspecting Recovered Materials

Use these guidelines for inspecting recovered materials:

1. The Contractor shall stockpile on or near the Project all materials removed from the Project that are to be disposed of.
2. The company shall send written notice to the State Utilities Engineer with copies to the District Engineer and the Engineer. The notice should list:
   - All major items available for inspection.
   - Location of the stockpile.
   - Dates and times that the inspection may occur.
   - Names and telephone numbers of utility company personnel to contact about the inspection.

   The company is responsible for this notice. The company should give enough advance notice so the FHWA can arrange for inspection within the allotted time on interstate Projects. The company may be held accountable for the full value of materials disposed of without notice.
3. The Area Engineer inspects the recovered materials on behalf of the Department and the FHWA on all Projects except interstate Projects and other Non-Exempt Projects. (On interstate Projects and Non-Exempt projects, the company must notify the FHWA that the materials are available for inspection and that the Area Engineer will make the inspection only on behalf of the Department, unless authorized by the FHWA.) The FHWA notifies the Area Engineer and District Engineer if the FHWA will participate in the inspection on interstate Projects.
4. After the FHWA participates in the inspection or indicates that it will not participate, the Area Engineer releases the materials. Expedite this notice by verbally contacting Area Engineer, District Engineer, State Utilities Engineer, and (where appropriate) the FHWA. Confirm all verbal contacts in writing and send copies to all concerned parties.

If the FHWA does not reply, the company holds the materials until the time allotted for the inspection has lapsed. The utility company or railroad may dispose of the materials according to company policy and credits all proceeds to the Department on the final bill.

5. The Area Engineer submits a written inspection report to the State Utilities Engineer and sends a copy to the District Engineer. This report includes a list of inspected items and comments on the condition of the material.

**NOTE: The notice and inspection do not apply to materials removed under a Lump Sum Agreement.**

6. The utility company or railroad credits all materials removed from a Project and returned to company stock to the Department as salvage at current value used by the company for such materials or for those specified by FHWA regulations.

## 12.8 Agreements for Projects Involving Railroads

When Projects involve railroads, the Department and the railroad (and city or county in some cases) draw up written agreements that provide for railroad approval of Project Plans, reimbursement for Work by railroad forces, granting of necessary easements, and other Items. In most cases, the agreement covers the railroad involvement on a Project. The State Utilities Office prepares these agreements to cover reimbursement to the railroad for the Work. A no-cost Agreement will be prepared if the railroad will not perform any work.

### A. Railroad Agreements

In addition to the issues listed above, the Railroad Agreements include an attachment of Special Provisions for the Protection of Railway Interests that govern the Contractor's Work on the railroad Right-of-Way. (The Special Provisions are also included in the Project Proposal.) When the Project proposal does not include a Special Provision, the Contractor's Work is governed by Subsection 107.08, "Railroad-Highway Provisions" in the Specifications, and any other applicable sections.

In a few cases, when railroad involvement is minor, an Agreement may not be necessary. Instead, the railroad may issue a letter or right of entry that approves the Project Work. Project personnel should be familiar with the agreement and Special Provisions because they involve more than just billing and payment to the railroad.

### B. Preconstruction Requirements

Follow these guidelines for satisfying preconstruction requirements on a Project involving railroads:

1. Meet the specific conditions detailed in the Special Provisions before starting Work on railroad Right-of-Way.
2. The Project Engineer checks these specific conditions, which include the following:
   - Satisfying insurance requirements and obtaining necessary approvals
   - Obtaining written approval from the railroad to begin Work
   - Providing written notice of intent to begin Work to the railroad and the Department
   - Obtaining required flagging protection from the railroad
   - Furnishing schedule for working within the railroad Right-of-Way
3. The State Utilities Office authorizes the agreement before Work can begin. If the agreement is not ready for inspection, Work cannot proceed unless the Department:
   - Obtains a right-of-entry from the railroad.
   - Issues a conditional authorization from the railroad for any required Work until the agreement is executed and authorized.
4. Project personnel should ensure that all requirements are met before:
   - The Contractor begins Work on the railroad Right-of-Way
   - Railroad forces begin any Work to be reimbursed under an Agreement.

### C. Flagging

Follow these guidelines for flagging on a Project involving railroads:

1. Railroad forces provide flagging protection when the Contractor is working on railroad Right-of-Way areas as described in the Special Provisions for the Protection of Railway Interests.
2. Payment of Railroad Flagging.
   a. In most cases, the Contractor shall handle flagging and payment directly with the railroad.

b. In other cases, the Department pays for flagging under the Agreement or under Item 005-0100, Additional Work, Railroad Flagging.

3. The method of payment for flagging is also covered in the Special Provisions. If there is no Special Provision, flagging is covered under Subsection 107.08, "Railroad-Highway Provisions" in the Specifications.

**D. Erosion Control**

On Projects involving railroads, the Contractor shall:

1. Pay attention to the silting of ditches and pipes along tracks and under bridges, and to any slope erosion during construction.
2. Comply with the erosion control requirements contained in the Project Plans and in the Special Provisions for the Protection of Railway Interests.

For more information about erosion control, refer to Subsection 107.13 and Section 161 of the Specifications.

**E. Bridge Clearances**

Follow these bridge clearance guidelines on Projects involving railroads:

1. The Contractor shall check the following points during construction to ensure obtaining approved minimum clearances:
   a. Vertical clearances from railroad tracks to overhead roadway bridges
   b. Horizontal clearances from track centerline to bridge columns
2. The Project Engineer verifies that the Contractor has obtained minimum clearances.
3. The Area Engineer reports the following to the Office of Utilities for transmittal to the railroad:
   a. The actual minimum vertical clearance obtained during construction
   b. The minimum clearance shown on the Plans

**F. Project Final Inspection and Acceptance**

The railroad should participate in the Project Final Inspection to inspect and accept Work involving its Right-of-Way.

The Area and District Engineer follow these steps for Final Inspection and Acceptance on Projects involving railroads:

1. Notify the railroad and schedule a Final Inspection when the Contractor has completed Work on the railroad's Right-of-Way, including cleanup and any required corrective Work.
2. Withhold final Project Acceptance until the railroad accepts the Work.

For more information about Project Final Inspection and Acceptance, refer to Subsection 105.06.A, "Construction Inspection of Utility and Railroad Work" of the Construction information.

**G. Preconstruction Conference for Railroad Protection**

When a construction Project involves railroad Right-of-Way or property, preconstruction conference participants should discuss the following requirements:

1. Participants should discuss the Special Provisions for Protection of Railway Interests and emphasize requirements for beginning and continuing Work on the railroad Right-of-Way. If no Special Provision exists, discuss the requirements of Subsection 107.08, "Railroad-Highway Provisions" of the Specifications.
2. The Contractor shall continually coordinate with the railroad during construction.
3. The Contractor shall obtain and maintain insurance coverage according to the Special Provisions.
4. Railroad personnel provide flagging according to the Special Provisions.

Before starting Work, the Project Engineer ensures that the Contractor has discussed and coordinated construction operations with the railroad and complied with the preconstruction requirements.

**H. Billing**

When all reimbursable Work is completed on Projects involving railroads, the Area Engineer will follow the General Billing Instructions listed in Section 13 of the Construction Information section in this Manual.

**I. New Railroad Encroachment**

For Projects involving new railroad encroachments (crossing) on state right of way:

1. Document all Work under the agreement sufficiently to ascertain that the Contractor performed the Work according to:
   - The terms and conditions of the agreement.
   - The needs of the highway construction Project.
   - The Department of Transportation Utility Accommodation Policy and Standards (where applicable).
2. Discuss, resolve, and document any discrepancies or disputes.
3. Handle Railroad permits accordingly with technical assistance from the State Traffic and Safety Design Office.

**J. "As Built" Plans**

When the "As Built" installation, relocation, or adjustment varies from the Plans:

1. The company shall make the changes on its Plans with colored pencil and submit the plans to the Project Manager.
2. These marked plans constitute "As Built" plans and become part of the Project record for all utility and railroad Work on highway Right-of-Way under permit or agreement.

## 13.0 Utility and Railroad Billing

This section contains information on general billing instructions for the review and verification of utility and railroad progress and final billing, and the preparation of the monthly and final statement, Form DOT 9UT.

### 13.1 General Billing Instructions

**A. Obtaining a Final Bill from Utility Companies**

When all reimbursable Work is completed on Projects involving utilities and railroads, the Area Engineer will follow these general billing instructions to obtain a final bill from the company:

1. Request, in writing, a complete and final bill under the appropriate agreement from the company.
2. Advise the company of the twelve-month time limit on the submission of a final bill.
3. Notify the State Utilities Office with copies of the request for a final bill.
4. Follow-up the written request with reminders at intervals of 45 days or less until the final bill is received.

**B. Reviewing Bills from Utility Companies**

The Area Engineer will use the following instructions for reviewing bills received from utility companies and railroads:

1. The authorization letter prepared by the State Utilities Office states the Project number, P.I. number, and County under which reimbursable expenses are to be billed.
2. All billing submitted to the State Utilities Office should be identified by the roadway Project number, PI number, County, Agreement amount and authorization date. Although billing may be submitted under the Right-of-Way number, the Construction Project number should be indicated on the bill for identification purposes.
3. The company shall submit six copies of all Utility and Railroad bills to:

   *State Utilities Engineer*
   *Georgia Department of Transportation*
   *935 E. Confederate Avenue, Bldg. 24*
   *Atlanta, Georgia 30316*

4. The State Utilities Office will forward bills directly to the Area for verifying and submitting a Form DOT 9UT pay statement. A copy of the bill will be routed to the District Utilities Engineer for information and reference.
5. The bills should reflect the dates covering the period for reimbursement. All final bills, including Lump Sum bills, should indicate the beginning date that the Construction Work began and the ending date on which the last Construction Work was performed.
6. Preliminary engineering bills should cover all engineering charges, such as preparation of Plans, estimates, inspections, conferences related to the Work, and any other preparatory expense incurred prior to the date the company is authorized by the State Utilities Office to proceed with construction, or through the date of the preconstruction conference, if required.
7. Engineering expenses incurred after the date of the preconstruction conference, or the authorization of the Agreement, will be considered construction engineering and should be billed accordingly. Any Preliminary Engineering charges billed after the date of the preconstruction conference will not be reimbursed unless prior approval is obtained from the State Utilities Office.

8. Construction bills should include all expenses incurred from the date of authorization to proceed with the Work to the last date on which Work was performed. Any expenses incurred before authorization of the Agreement (other than preliminary engineering) are not reimbursable.
9. When submitting bills under Agreements, a detailed itemization of the total expense incurred is required. If the Agreement was prepared on a percentage basis and the company will bear a portion or a percentage of the cost of the Work performed, the appropriate percentage should be shown on the bill.

## 13.2 Progress Billing

This section contains instructions for processing information on progress billing for regular utility or railroad Agreement Work:

### A. Processing Information on Progress Billing

1. The Area Engineer checks progress billing by comparing Project records with the Plans and the estimate supporting the Agreement, including subsequent adjustments to the original estimate.
2. The Area Engineer determines whether the charges in the progress bill represent the value of Work the company has actually performed. Determine this by comparing the level of Work accomplished with the estimate, including any adjustments, supporting the agreement.
3. The Department will pay the bill in full except for erroneous or unverified charges. The itemized statement should include sufficient details to be verified by the field records maintained by the Department. These details include a breakdown of labor hours or invoices for contract work, equipment hours or miles, material quantities, and other charges on a monthly basis.
4. The State Utilities Office or the Area Engineer may initiates an Allotment Request if a progress bill shows evidence of a substantial overrun. Any Allotment Request that is initiated by the Area Engineer must be forwarded directly to the State Utilities Engineer for concurrence and approval.
5. Summary compilations of charges are sufficient to support all progress bills. It is not necessary to obtain individual invoices, time sheets, or other source documents from the company unless the charges are normally represented in this manner. The Department's external auditors perform formal audits of source documents when the Work is completed and the company submits the final bill.
6. Progress bills will not be accepted under the following conditions and will be returned to the company unpaid:
    a. For billing periods shorter than one month, for amounts under $100, or on Lump Sum Agreements.
    b. When the amount claimed, before deducting any ineligible charges, exceeds the reimbursable amount set forth in the Agreement, including any Allotment Requests.
7. If the Agreement contains credits for salvage or expired service life, the utility company or railroad should include these credits on progress bills by one of the following methods:
    a. Detail the appropriate credits and deduct them from the amount billed.
    b. Deduct a percentage of the salvage or expired service life credits from the amount billed to date. Base this percentage on a proportion of the proposed Work covered by the Agreement. For example, when billing 1/3 of the estimated expense, give 1/3 of the estimated credits.
8. The utility company or railroad should submit acceptable progress bills under regular Agreements according to General Billing Instructions.
9. If progress bills are not properly itemized, the Department will withhold 10 percent until the final bill is paid. If the total amount billed exceeds 80 percent of the Agreement (including any approved Allotment Requests) or $40,000.00, an itemized statement of charges must be submitted before any additional payment will be made

## 13.3 Final Billing

All records for reimbursable expenses are subject to audit. The Department will audit final bills. The final bill should indicate the location of the records.

This section contains information on final billing for regular utility or railroad Agreement Work, overruns, and procedures for Lump Sum Agreements.

### A. Regular Utility and Railroad Billing

The utility company or railroad should follow these final-billing instructions for regular utility and railroad Agreement Work:

1. Submit final billing for reimbursable expenses under a regular utility and railroad Agreement according to General Billing Instructions.

2. Ensure that the billing follows as closely as possible the order of the items in the Detailed Cost Estimate supporting the Agreement.
3. Submit details of the following in the same order and in sufficient detail to allow the Department to compare the charges with the Plans and Agreement estimates:
    a. Preliminary Engineering
    b. Construction Engineering
    c. Labor
    d. Overhead
    e. Travel expense
    f. Transportation
    g. Equipment
    h. Materials
    i. Supplies
    j. Handling cost
    k. Other reimbursable expenses
    l. Salvage
    m. Expired service life credits
4. Ensure the bill shows the dates on which the first and last eligible expenses were incurred.
5. Provide the necessary billing and support detail. Ensure the bill is complete and covers all expenses incurred under the Agreement.
6. Include a recap summary sheet that:
    a. Shows individual totals for labor, equipment, materials, etc.
    b. Indicates the proportion of the costs that the Department and the company will bear.
    c. Contains a summary of any previous progress payments made for the Work as well as the balance due.

**B. Verification of Billing and Overruns**

Follow these final-billing instructions for overruns:

1. The Area Engineer verifies, by Project records and diary, all labor and equipment by classification and hours worked. Verify all major components of material used or recovered by item, unit, classification, etc., except for contract Work on a unit price or Lump Sum basis.
2. The Area Engineer reviews all computations in the bill, leaving check marks on the original copy by the calculated extension.
3. After verifying the bill, the Area Engineer signs the Form DOT 9UT and returns the bill directly to the State Utilities Engineer. A final audit will be made to verify the final reimbursable charges.
4. The Area Engineer submits to the State Utilities Engineer a detailed letter explaining the reasons for any exceptions or cost overruns for all bills that exceed the approved Agreement amount, including approved Allotment Requests.
5. All bills that contain overruns exceeding any of the following limits require a letter of explanation from the company:
    - 10 percent or more in total costs
    - 10 percent or more in material costs
    - 20 percent or more in labor costs
    - 20 percent of more in equipment costs
6. Final bills that include overruns less than the percentages listed in step 5 generally do not require a letter of explanation from the Company. The Area Engineer may, request an explanation for any item that cannot be verified by field record information.
7. The Area Engineer may forward a request for an Allotment Request to the District Utilities Engineer for review and concurrence before submitting the request to the State Utilities Engineer. All supporting documents and overruns must be included with the recommendation to reject or approve the overruns.

**C. Lump Sum Agreement Billing**

Follow these instructions for final billing on Lump Sum Agreements:

1. The Company shall submit bills under a Lump Sum Agreement according to General Billing Instructions. When submitting bills, the following additional requirements should be noted on the bills:
   a. Identify the billing as Lump Sum Final Bill.
   b. List the date, the amount of the Agreement and the date of the first and last eligible expense under the Agreement.
   c. Properly identify and reference the Items in 'b' above to the Agreement so that it is not necessary to detail the bill.
2. The Area Engineer verifies Lump Sum bills by using the Project records and diaries to certify that the Work was performed according to Plans and estimates supporting the Agreement.

### 13.4 Progress and Final Statement—Form DOT 9UT

This section covers instructions for completing Form DOT 9UT for progress and final billing on Utility and Railroad Agreements authorized by the State Utilities Office.

The Area Engineer will be provided 2 originals of Form DOT 9UT with each bill. The Area Engineer should sign the forms as originals and return them directly to the State Utilities Office for processing and payment of the company's bill.

A signed copy of the paid progress or final bill will be mailed to the Area Engineer and the District Utilities Engineer for record of payment.

## 14.0 Source, Supporting, and Material Documents

### 14.1 Definition

Source documents (the original documents for payment) provide direct evidence or testimony that Work was performed in compliance with the Contract. The Contractor is paid according to information provided in these records. These documents include the following:

- Inspectors Reports
- Field Quantity Books
- Cross sections
- Load tickets
- Invoices
- Materials test results as certifications

Keep all source documents in a locked, fireproof cabinet (if possible).

Other records may indirectly support payment and are also important. These records include "As-Built" plans, layout books, shot books, tare weight sheets, and correspondence.

For more information regarding cross sections see the following sections in the Specifications:

Section 107

Section 161

Section 204

Section 205

Section 206

Section 208

Section 211

Section 212

For more information regarding weight tickets see the following sections in the Specifications:

Section 222

Section 225

Section 301

Section 303

Section 304

Section 310

Section 317

Section 318

Section 400

Section 401

Section 402

Section 434

Section 700

Section 701

Section 702

### 14.2 Inspector's Reports

Inspector's Reports are the primary source documents for reporting and recording quantities for payment, inspection, materials certification, and other information.

Ensure that Inspector Reports include the following:

- The name of the Contractor or the Subcontractor performing the work
- A consecutive number for each Pay Item

Submit Inspector Reports or supporting records when there is a substantial amount of work to be reported. Submit them monthly to document progress payments.

When Pay Items are measured for final payment purposes, either on a progressive basis or upon completion of the Pay Item, the Inspector Report is a source document.

Cross out any incorrect or erroneous information on an Inspector Report. Do not use White-Out or Liquid Paper, and do not erase entries. Write the correction in an available space, and initial the correction.

The actual pay quantity for some items, such as Lump Sum items, cannot be determined until the Pay Item or the installation of the pay item is complete. For these items, Inspector Reports shall be completed at least monthly. They shall state the location of the work, the estimated quantity of the work, and the basis (or logic) of the estimate. Do not overestimate; this might cause the partial payment to exceed the Final Pay Quantity. Calculate the final pay quantity and report it on an Inspector Report (which shall be indicated as a source document).

The following table lists each Inspector's Report. (List may not be all inclusive)

| Inspector's Reports | | | |
|---|---|---|---|
| 627-01 | Miscellaneous Items | 627-16 | Bar Reinforcement Steel, Bridge No. _____ (Megagrams) |
| 627-02 | Lump Sum Items | 627-16a | Bar Reinforcement Steel, Bridge No. _____ (Pounds) |
| 627-03 | Each Items | 627-17 | Superstructure Concrete, Bridge No. _____<br>Superstructure Reinforcing Steel, Bridge No. _____ |
| 627-04 | Lineal Measure | 627-18 | Class "B" Concrete (Headwalls) (Cubic Yards) |
| 627-04a | Linear Measure (Metric) | 627-18a | Class "B" Concrete (Headwalls) (Cubic Meters) |
| 627-05 | Square Feet /Yard or Acre Items | 627-19 | Structural Steel, Bridge No. _____(Lump Sum) |
| 627-05a | Square Meters or Hectares Items | 627-20 | Prestressed Concrete Beams, Bridge No. _____, Type _____ |
| 627-06 | Cubic Yard Items | 627-20a | Prestressed Concrete Beams, Bridge No. _____, Type ___ |

| Inspector's Reports | | | |
|---|---|---|---|
| 627-06a | Cubic Meter Items | 627-21 | Piling in Place, Bridge No. _____ (Linear Foot)<br>Test Pile (Each) |
| 627-07<br>627-7 | Scale Ticket / Tonnage Items (Spread rate) (English)<br>Scale Ticket / Tonnage Items | 627-21a | Attachment Sheet for Piling in Place (Linear Foot) |
| 627-07a<br>627-7M | Scale Tickets / Megagram Items (Spread rate) (Metric)<br>Scale Tickets / Megagram Items | 627-21b | Piling in Place, Bridge No. _____ (Linear Meter)<br>Test Pile (Each) |
| 627-08 | Field laboratory<br>Field Engineer's Office, Type _____ | 627-21c | Attachment Sheet for Piling in Place (Linear Meter) |
| 627-09 | Clearing and Grubbing – Lump Sum | 627-22 | Highway Signs, Type _____, Material _____ (Square Foot) |
| 627-10 | Earthwork Items (English) | 627-22a | Highway Signs, Type _____, Material _____ (Square Meter) |
| 627-10a | Earthwork Items (Metric) | 627-23 | Misc. Drainage Structure, Str. No. _____ (Each)<br>Additional Depth (Linear Foot) |
| 627-11 | Bridge Excavation, Bridge No. _____(Cubic Yard) | 627-23a | Misc. Drainage Structure, Str. No. _____ (Each)<br>Additional Depth (Linear Meter) |
| 627-11a | Bridge Excavation, Bridge No. _____ (Cubic Meter) | 627-24 | Attachment |
| 627-12 | Foundation Backfill Material, Type ____ (Cubic Yard) | 627-25 | Bituminous Tack Coat (Gallon) |
| 627-12a | Foundation Backfill Material, Type ____ (Cubic Meter) | 627-25a | Bituminous Tack Coat (Liter) |
| 627-14 | Bar Reinforcement Steel (Culverts) (English)<br>Class "A" Concrete (Culverts) (English) | 627-26 | Construct, Maintain and Remove Items |
| 627-14a | Bar Reinforcement Steel (Culverts) (Metric)<br>Class "A" Concrete (Culverts) (Metric) | 627-27 | Surface Treatment (Square Yard) |
| 627-15 | Class "A" Concrete, Bridge No. _____(Cubic Yard) | 627-27a | Surface Treatment (Square Meter) |
| 627-15a | Class "A" Concrete, Bridge No. _____ (Cubic Meter) | 627-27b | Attachment Sheet for Surface Treatment (English) |
| | | 627-27c | Attachment Sheet for Surface Treatment (Metric) |
| | | | |

### 14.3 Field Quantity Books

At the Project Engineer's option, Field Quantity Books may be maintained to record quantities. The following are items that may be kept in the books:

- Erosion control items
- Storm and side drainpipe
- Bituminous tack coat
- Piling

Field Quantity Books are not required, but they must be maintained in the permanent Project records if source documentation material is recorded in them.

Field Quantity Books may be used as an alternative source document to Inspector's Reports. When source records are kept in Field Quantity Books, the same information is required on Inspector's Reports for each respective Pay Item. Each Field Quantity Book used on a Project shall display the following information on the front cover:

- Project number
- County
- Reference number

Ensure items in the book are indexed properly.

If possible, keep the Field Quantity Books in the Project Office to prevent loss. The Project Engineer or designated representative shall prepare a Summary Report on the appropriate Inspector Report form, but include the following information only:

- Project number(s)
- Item number and description
- Pay quantity for the current pay period
- Reference to the Field Quantity Book and page number

The Field Quantity Books are the source documents and shall be audited periodically by the Contract Administration auditor. The Summary Report is checked by the auditor.

## 15.0 Construction Inspection for Transportation Enhancement Activity (TEA)

Transportation Enhancement Activity (TEA) Agreements typically involve landscape, historic preservation, or bike path Projects financed with Federal funds and matched by local authorities that sponsor the Project. TEA Projects are under the direction of the Office of Planning.

### 15.1 Guidelines

**A. TEA Agreements**

TEA agreements operate according to the following:

1. The Department enters into a TEA Agreement with a sponsor
2. The Sponsor selects a Contractor to perform the Work.
3. After executing the Contract, the Office of Planning:
   - Issues a Notice to Proceed to the Sponsor, Office of Contract Administration , and District Engineer.
   - Provides two copies of the executed contract (T.E.A. Agreement) to the District Engineer and one copy to the Office of Contract Administration.
4. The Sponsor provides the Area Engineer with Project Plans and a copy of the Sponsor's Contract with the Contractor.
5. The Area Engineer attends the preconstruction conference.
6. Throughout construction, the Area Engineer:
   a. Performs spot inspections throughout construction of the Project.
   b. Coordinates materials testing for "on system*" projects with the Office of Materials and Research for the following:
      - All materials typically used in highway construction
      - All materials that will become a permanent part of the travel way and its safety appurtenances
      - For all other materials and "off-system*" projects, the sponsor shall certify that the materials comply with Contract requirements and meet generally accepted industry standards.

- *[For purposes of this section "on-system" means a project within the normal public road right-of-way of any federal-aid eligible road, and "off-system" would be projects not associated with a public road (i.e. train depot, rails to trails)]

## 15.2 TEA Construction Reports

**A. Prepare TEA Construction Reports**

TEA Construction Reports are prepared as follows:

1. All T.E.A. construction reports contain only one pay item.
2. The sponsor shall submit invoices from the Contractor, with corresponding payment requests, to the Area Engineer every month.
3. The Area Engineer checks the Work completed each month and submits a construction report to the Office of Contract Administration according to the Department's standard procedure.

**NOTE: A payment percentage shall be specified in the Notice-To Proceed (NTP). The Project Engineer shall pay in accordance with this specified percentage. The percentage will be project specific. Projects not containing a specified percentage on the NTP, 100% of the invoice amount shall be paid, not to exceed maximum participation.**

4. Prior to making final payment, a final audit shall be performed. The auditor shall review the TEA Agreement to ensure the final payment does not exceed the Department's specified level of participation.
5. All contract overruns will be the responsibility of the Planning Project Manager. The Office of Planning shall initiate and execute TEA Change Orders to modify the contract amount.
    - A copy of each TEA Change Orders shall be forwarded to the Office of Contract Administration to modify the contract amount.
    - A copy shall also be forwarded to Accounting and the Office of Financial Management to set up funding.

**NOTE: If Disadvantaged Business Enterprise (DBE) participation is required, the sponsor must collect and submit the "DBE Participation Report" to the Area Engineer for compliance with the Department's "Criteria for Acceptability". The Area Engineer may withhold payments if the sponsor fails to submit quarterly DBE reports.**

DEPARTMENT OF TRANSPORTATION
STATE OF GEORGIA

# TEA CHANGE ORDER REQUEST

**DATE:** **MODIFICATION NO.:**

**Project No.:** **County:**
**Contract ID:** **PCN:**

**SPONSOR:**

**The following change is at the request of**
_____.

**The change is**
_____
_____
_____
_____

**The current project amount is $**

**The revised project amount is $**

**Total Change Requested $**

**Recommended by:** _____ **Date** _____
Area Engineer

**Approved by:** _____ **Date** _____
Planning Project Manager

DOT 187 TEACO
Rev. 3/02

Revised 7/98
C5-00

# SPONSOR'S
# CERTIFICATION OF FINAL ACCEPTANCE

Project Name: _____

Project #: _____ PI #: _____

GDOT Contract ID #: _ _ _ _ _ - _ _ - _ _ _ - _ County: _____

I hereby certify that I, _____, am the _____ and duly authorized representative of the _____ whose address is, _____ and it is also certified that:

- On behalf of the _____, I performed a final inspection of the PROJECT and certify that all punch list work is satisfactorily completed and accepted.
- The _____ accepted the work from the CONTRACTOR on _____.
- The _____ hereby assumes full responsibility for the continued operation and maintenance of the PROJECT.

The _____ hereby certifies Sponsor's final Acceptance of the PROJECT and respectfully submits:

☐ Final Project Invoice

☐ Materials Certification Statement

☐ Other (please list) _____

_____

_____

_____ _____

DATE SIGNATURE

### 15.3 Final

**A. Final Acceptance**

1. The sponsor is required to perform a final inspection.
2. The Office of Planning will provide the Sponsor with the Sponsor's Final Acceptance Form.
3. No formal Final Inspection will be performed by the Area Engineer, on TEA Projects. The Area Engineer will verify that the project was completed as originally intended.
4. Receipt of the final invoice from the Sponsor.
5. An executed Sponsor's Final Acceptance Form. Final acceptance will not be given without this completed form from the sponsor.
6. A Materials Certification statement from the sponsor. The Office of Materials and Research will review the materials certification statement and any materials documentation prior to issuing the Materials Certificate.
7. The Area Engineer shall forward the Materials Certificate and the executed Sponsor's Final Acceptance Form to the District for processing.
8. The Area Engineer will process and forward the final construction report and any attachments to the district for routine processing.
9. Submit the request for final acceptance along with a copy of the Sponsor's Final Acceptance Form and the materials certificate to the Office of the State Construction Engineer.
10. The final construction report package shall be submitted to the Planning Project Manager.
    - The Planning Project Manager shall review the TEA agreement to ensure the final payment does not exceed the Department's specified level of participation.
    - It will be the Planning Project Manager's responsibility to verify and submit the final construction report package to the Office of Contract Administration for processing.

**NOTE: Under no circumstances will final acceptance be given without an Sponsor's Final Acceptance Form.**

**Note: An account has been set up for all Area Engineers to charge their time spent on T.E.A. projects rather than charging their time to a specific T.E.A. project. The account number is PE-STP-000E (106).**

Additional information may be obtained from the Office of Planning's Project Manager or from the manual, Road to Success, issued by the Office of Planning.

## 16.0 CMAQ and LGPALF Projects

Congestion Mitigation Air Quality **(CMAQ)** and Local Government Project Agreement Long Form **(LGPALF)** projects typically have CM-SW, STP-SW, CM-00BK, or STP-00BK prefixes. Their contract identification number will usually begin with a "Q". CMAQ and LGPALF projects are unconventional highway projects, i.e., bike paths, natural trails or sidewalks.

### 6.1 Design

Congestion Mitigation Air Quality **(CMAQ)** and Local Government Project Agreement Long Form **(LGPALF)** projects are designed by the local governments/sponsor with oversight from the Department design offices.

### 6.2 Award

When the Department Design Office approves the project design and construction funds are authorized the government/sponsor Lets and Awards the contract for construction.

- The Department's designer issues a Notice to Proceed (NTP) to the local government/sponsor the Area Engineer, Office of Contract Administration, and District Engineer.
- The local government/sponsor shall provide project plans and a copy of the agreement/contract with the contractor to the Area Engineer.
- The Department's designer shall provide a copy of the agreement between the Department and the local government/sponsor to the Area Engineer and the Office of Contract Administration.

### 16.3 Construction

- The Area Engineer shall attend the Preconstruction conference.
- The Area Engineer shall perform periodic inspections throughout the life of the project.

- The local government/sponsor shall submit monthly invoices to the Area Engineer to request payment.
- The Area Engineer will verify work performed and submit a construction report to the Office of Contract Administration for processing.
- The Office of Contract Administration will perform monthly and final audits on these projects.
- The Department will not participate in contract overruns.
- All overruns will be the responsibility of the local government/sponsor.

**NOTE: The funding split however, is not always 80% Federal funds with a matching 20% State of local government funds. Carefully review the agreement between the Department and the local government/sponsor to verify the percentage of matching funds.**

### 16.4 Inspection

Review the project agreement/contract between the Department and the local government/sponsor to verify who will be performing construction supervision/inspection.

Construction inspection procedures differ on these types of projects.

- The local government/sponsor may utilize consultant construction services for inspection.
- If the Department handles Construction supervision/inspection, field-testing and oversight will be handled as any other construction project.

### 16.5 DBE

DBE requirements will be stipulated in the contract/agreement between the Department and the local government/sponsor.

**Note: It will be the responsibility of the local government/sponsor to collect and submit the appropriate DBE documentation to the Area Engineer. The Area Engineer may withhold payments if the local government/sponsor fails to submit quarterly DBE reports**

### 16.6 Final Inspection and Acceptance

**A. Final Inspection**

- A final inspection will be performed by the local government/sponsor.
- The Area Engineer is not required to attend the Final Inspection, but will determine the project has been completed in close conformance with the Plans and Specifications.

**B. Final Acceptance**

- The local government/sponsor must provide a completed "Sponsor's Certification of Final Acceptance"
- The local government/sponsor shall furnish a materials certification statement in lieu of a Department materials certificate.
- The Area Engineer submits a final invoice; executed Sponsor's Certification of Final Acceptance, and a materials certification statement to the District Contract Administration Office.
- The District recommends Final Acceptance to the State Construction Engineer.
- The request for Final Acceptance must have the materials certificate statement and the executed Sponsor's Certification of Final Acceptance attached.

The State Construction Engineer will make Final Acceptance.

## 17.0 Photography/Video on Construction Projects

**A. Guidelines for Photographing and Videotaping Construction Projects**

It is necessary that photographic and videotape records be taken and maintained of:

1. Conditions prior to construction.
2. Progress of construction.
3. Traffic Control.
4. Accidents in construction zones involving a fatality, serious injury, or unusually extensive property damage.
5. Other unusual events.

### 17.1 Video Cameras

Area Engineers should establish a schedule for Project Engineers to routinely videotaping all major projects on a frequency not to exceed 60 days. The Project Engineer should review the video as soon as possible after recording for any problems in the taping process. The Project Engineer will determine if the video is sufficient or if the video needs to be retaken.

When videotaping the project the following should be followed:

- Speak clearly so the voice can be clearly heard.
- Do not make personnel comments.
- Do not have radio on or talk to others during videotaping.
- Make sure video camera is stable.
- Clearly identify direction and locations being videotaped.

### 17.2 Still Cameras

Each project should have access to a camera that automatically imprints the date on the photograph. However, if this type of camera is not available, this information should be manually recorded and initialed on the back of the photograph. In addition, all photographs should have recorded on the back the name and signature of the person who took the photograph.

### 17.3 Prior to Construction

On major projects both photographs and videos should document pre-construction conditions. Photographs and Video should be taken of:

- Existing signs
- Driveways
- Parking lots
- Existing drainage
- Down stream lakes and ponds
- Retaining walls
- Fences
- Wetland areas
- All other items or area that will be affected by construction.

### 17.4 Progress of Construction

Progress should be documented with both photographs and video.

Photographs should be taken:

- Periodic basis
- Milestone events

Video should be taken:

- The entire project including the initial installation of all advanced warning signs.
- Traffic control.
- Major change in staging.
- Routinely at intervals not to exceed 60 days.

### 17.5 Traffic Control

Photographs and video should document all traffic control and warning signs. Videotape should be made of all traffic control and approach warning signs as soon after installation as practicable. On major projects, after each major staging change affecting traffic control, videos should be made.

**Note: If videos cannot be made on a timely basis, photographs can be substituted.**

### 17.6 Accidents

When an accident involving a fatality, serious injury of unusually extensive property damage occurs in a construction zone, it is essential that photographs and/or videos are taken to document the conditions.

The interest here is not on the vehicles involved but the conditions that exist on the project at the time of the accident. The condition as it exists at the time of the accident is perishable. The Department must be able to later demonstrate that the traveling public was protected by adequate traffic control.

Photograph or Video the following:

- Existing pavement markings.
- Existing signs.
- Existing channelization devices.
- Pavement drop-offs that may exist at the site.
- Construction warning signs at the approach of the accident.

Obtain copies of any photographs or video from police or private individuals and place in the project files.

**Note: Photographs or videos must be taken before the project conditions existing at the time of the accident are altered and in no case later than 24 hours after the accident.**

### 17.7 Other Unusual Events

Any unusual or catastrophic event which, in the judgment of the Project Engineer warrants documenting.

## 18.0 Airport Projects

The GDOT Aviation Program Office received a grant from the federal government. The reporting requirements differ from previous grants in that the new airport projects will not be run through the Construction Payment system. Projects currently in the Construction Payment system (AASHTO –Trns*Port) shall be finaled in that system. This would include the Governor's Regional Airport Enhancement Program (GRAEP) and all airport projects under construction prior to the spring of 2001. The GRAEP projects are easy to identify because the project number has the following format: AP98-9300-1(***) T* County. Airport projects maintained in Trns*Port, do require Construction – Contract Liaison audits, Materials Certificate, and are accepted by the District.

## 18.1 General

All other airport projects, except as noted above, shall be administered as follows:

- The Area Engineer shall attend the Preconstruction conference.
- A representative from the Aviation Program Office will be in attendance and shall provide the Area Engineer a "Pay Request Sheet". This Sheet provides a summary of all contract pay items and will be used to make monthly payments.
- The Area Engineer shall use this sheet to make monthly payment requests for the project in lieu of a construction report.
- The Aviation Program Office will also send a copy of the "Pay Request" sheet to the Office of Materials and Research, Materials Audit section, for the purpose of creating a Materials Certificate Checklist for the project

## 18.2 Construction

The Area Engineer shall perform periodic inspections throughout the life of the project.

Invoices shall be submitted monthly to the Area Engineer for payment.

The Area Engineer will verify work performed and submit a construction report as shown below:

1. Projects that are part of the Governor's Regional Airport Enhancement Program will be submitted to the Office of Construction-Payment unit for processing.
2. All projects not in Trns*Port are to be submitted to the Office of Aviation.

   **GDOT Intermodal Programs – Aviation Programs**
   **276 Memorial Drive**
   **Atlanta, Georgia 30303**

   a. Monthly request shall be sent to the Intermodal Programs Office no later than the 10th of each month.

b. The Intermodal – Aviation Office will process the payments through their system.

c. A Pay Voucher (equivalent to a Voucher Summary) will be generated by Intermodal – Aviation Office and distributed to the appropriate offices.

d. Each Pay Request shall be sequentially numbered.

e. The final pay request should include the word "Final" after the sequential number.

## 18.3 Final Inspection and Acceptance

**A. Final Inspection:**

- A final inspection will be performed by the local government/sponsor.
- The Area Engineer is not required to attend the Final Inspection, but will determine the project has been completed in close conformance with the Plans and Specifications.

**B. Final Acceptance:**

- The local government/sponsor must provide a completed "Sponsor's Certification of Final Acceptance"
- The local government/sponsor shall furnish a materials certification statement for materials incorporated into The Work and not tested by the Department.
- The Area Engineer submits a final invoice; executed Sponsor's Certification of Final Acceptance, and a materials certification statement and all project records (excluding those maintained by the Sponsor) to the District Contract Administration Office.
- The District shall request Final Acceptance from the Intermodal - Aviation Program Director, or designated representative.
- The request for Final Acceptance must have the materials certificate statement and the executed Sponsor's Certification of Final Acceptance attached.
- The State Construction Engineer will make Final Acceptance.
- All project records (excluding those maintained by the Sponsor) will be maintained at the District for a period of six years after Final Acceptance.
- The status of an airport project can be viewed in a spreadsheet maintained by the Office of Intermodal – Aviation.
- Contact Carol Comer at (404) 651-5207 for the Web address containing the spreadsheet (for DOT Personnel Only) or for any other needed information.

### 18.4 Airport Supplemental Agreement Procedure

**Note: The following guidelines apply only to Airport Projects. All other supplemental agreements will be processed as usual.**

**A. General**

The purpose of this section is to outline the procedures that are to be followed to initiate and execute a project Supplemental Agreement involving airport construction projects funded under the Georgia Department of Transportation, Airport Aid Program.

**B. Definition**

For the purpose of this procedural document, a Supplemental Agreement is defined as:

- Written agreement between the Georgia Department of Transportation (GDOT) and a Public Airport Owner.
- Modifications or alterations to an original construction contract that establishes any new contract items of work.
- Other basis of payment.
- Time adjustments for the work affected by the change.
- The Supplemental Agreement becomes a part of the original contract when properly approved and executed.

**C. Airport Owner**

The Airport Owner is normally notified by the contractor, engineering consultant or the GDOT Area Engineer that a particular construction problem necessitates a change to the original construction contract.

- All parties involved in the project (Airport Owner, Engineering Consultant, GDOT Aviation Programs Office, GDOT Area Engineer and Prime Contractor) are informed of the problem and propose changes to the original contract.
- All parties agree to the construction modifications and changes in project costs,
- New work items, quantities and specifications are developed and incorporated as changes to the original contract work scope.

Copies of all project changes are provided by the Airport Owner to:

- The Contractor.
- GDOT Area Engineer.
- Aviation Programs Office.

**D. GDOT Area Engineer**

- The Area Engineer accumulates all the project changes provided by the Airport Owner
- Sends the data to the District Engineer – Contracts Administration Office requesting the preparation of a Supplemental Agreement to the airport construction project.

**E. District Engineer**

- The District Contracts Administration office develops the GDOT Supplemental Agreement.
- Three (3) copies of the SA are sent to the Airport Owner for signature and returned to the District.
- The District keeps one (1) copy for the file and mails two (2) signed copies of the SA to:

  **Aviation Programs, Georgia Department of Transportation**

  **276 Memorial Drive N.W.**

  **Atlanta, Ga. 30303**

  **Attn: Carol Comer**

- After the Aviation Programs office gets the SA approved and fully executed, one original copy of the fully executed SA is returned to the District Engineer.
- The District makes copies and sends one (1) original to the Airport Owner, one (1) to the Area Engineer and keeps one (1) copy for their file.
- The District also issues the "Notice to Proceed" to the Airport Owner.

**F. Aviation Programs**

- Upon receipt of the Supplemental Agreement from the District Engineer,
- The Aviation Programs office shall prepare a memo Routing Sheet for distribution
- The two (2) original copies of the agreement routed within the GDOT for approval and execution.
- The agreement shall be forwarded through the Administrator of Intermodal Programs, the Director of the Construction Division, and the Deputy Commissioner for execution and return to the Aviation Programs office.
- The two (2) originals and photo-copies of the fully executed Supplemental Agreement are processed by the Aviation Programs office in accordance with the distribution list.

## 19.0 Earthwork Cross-Sections

### 19.1 Original Earthwork Cross-Section Verification

Before construction begins the Engineer shall verify the design/original cross-sections for earthwork computation. The following steps shall be followed as a minimum in determining the adequacy of design original cross-section.

1. Verify that the ground has not been disturbed since the cross-sections were obtained by taking the plan cross-sections and visually inspect areas that appear could have been changed. If, in fact, the ground has been changed, new cross-sections shall be taken in those areas.

2. Spot check one cross-section every ten stations as a minimum to see if they are reasonably close, within 6 inches (150 mm), to the design/original cross-sections. If not satisfied with the spot checks, request that the District Construction Engineer send a survey crew to check the cross-sections every 500 ft. (150 m).
3. If the results of the spot checks are not satisfactory, request that new cross-sections be flown or that field cross-sections be obtained. This request shall be routed through the District Construction Engineer to the Director of Construction.

### 19.2 Contractor Certified Cross-Sections

In an effort to obtain accurate original cross sections Special Provision Section 205 – Roadway Excavation (Contractor Certified Cross Sections) has been created. When placed in the contract this Special Provision is intended to provide a means of paying the Contractor for cross sections taken by Contractor forces in areas where the cross sections contained in the plans vary from actual field conditions. By utilizing this Special Provision, the Engineer has the authority to have areas cross-sectioned by the Contractor and have a means for paying for the work.

- Cross-Sections shall be taken under the supervision of a registered land surveyor or professional engineer, and certified/sealed before submission to the Project Engineer.
- Data shall be transmitted to the District Location Engineer for review.
- The Department (District Location Engineer and Survey crew) shall have 5 days from initial receipt, to spot check the contractor's cross-sections.
- The District Location Engineer shall determine whether the cross-section submittal is acceptable.

All cross sections submitted by the Contractor must have the following:

- Three (3) copies.
- Legible in a survey book.
- Must be stamped by a Registered Land Surveyor or Professional Engineer.
- Within specified tolerances (Special Provision).
- DOT 205SP form completed and signed, by the Contractor.

Once the submittal has been accepted, the Project Engineer shall sign the 205SP and provide a copy to the Contractor and the District Earthwork Coordinator. The original shall be kept in the project files.

If the Contractor Certified cross sections are not accepted, the Project Engineer shall notify the contractor providing justification for the rejection.

**Note: Payment shall be made only for accepted Contractor Certified Cross Section submittals.**

The Project Engineer will mark the project as-built plans in red to reflect the accepted Contractor Certified Cross Sections. All earthwork calculations shall be based on the accepted Contractor Certified Cross Sections and the remainder of the original cross section contained in the plans.

**Note: The intent is not to have the Contractor cross-section the entire project, but only those areas with discrepancies.**

## 19.3 Measurement and Payment

1. District Earthwork Coordinator (DEWC) shall supply a volume's report to the Area Engineer at the Preconstruction meeting or shortly thereafter.
2. The Project Engineer should use the volume's report, supplied by the DEWC, to estimate quantities between stations for payment to the contractor. Undercuts and/or other general small locations not shown on original cross sections shall be calculated by construction project personnel based upon field measurements. Show separate from the volume's report quantities on the DOT 627.
3. Contractor requested changes or disputes to the overall estimated volume's quantities should be audited by Contract Liaison Section prior to final decision.
4. Final Cross sections and Volume's report shall be audited by the Office of Construction- Contract Liaison Section prior to final payment is made or agreed upon.

## 20.0 Materials Certificates (Checklists)

### 20.1 Materials Certificate

A Materials Certificate (MC) is required for all DOT projects. The following process is to be used for all DOT projects except State-Aid Off system projects, which use the process as noted in Section 20.5. A MC verifies that the primary materials incorporated into the work are of acceptable quality. A MC Checklist has been developed to assist the Department in certifying materials requirements on DOT projects in a timely manner. The MC Checklist only covers items that are part of the final MC and should not be relied on for all material requirements. All materials that are used on DOT projects have materials requirements, even materials that are of a temporary nature. The Contract document, the Specifications and the Sampling, Testing and Inspection Manual should be consulted for complete materials requirements.

- The Qualified Products List (QPL) contains material products and sources that are pre-approved for use on GDOT projects. The OMR maintains over 80 QPLs to assist in quality control of products. If a QPL does not exist for a material the Contractor shall supply a manufacturer's certification that the material meets the specifications or it shall be sampled and tested before use according to the Specifications. Materials that are covered by a QPL but appear to be deficient in quality when delivered to the Project shall also be sampled and tested before use.

- Construction shall utilize tools and reference materials provided by the Office of Materials and Research at the Materials Audit Web Page and in the TRAQS Material Certificate Construction Folder to expedite the issuance of the Material Certificates. The web page provides instructions and required forms for the MC process. The TRAQS MC Construction Folder contains MC project status reports. Use these reports to check the MC status of projects before you call the Materials Audit Unit.

### 20.2 Materials Certificate (Checklist)

Projects let January 2002 and after require a Materials Certificate Checklist to be completed and sent to the Office of Materials and Research, Materials Audit Unit for every project that has a construction report turned in during the preceding three months. The final Materials Certificate Checklist and the final Construction Report are required to initiate the audit. Send both together. Table 1 below shows the MC Checklist due dates and the construction reports that should be included on the checklist. Even if work was only performed in one or two of the months a MC Checklist shall be submitted by the deadline. MC Checklists for Off System projects (LAR, LAU etc.) that are resurfacing need only be sent when the projects are complete.

**Table 1**

| Report: | January | April | July | October |
|---|---|---|---|---|
| **Month 1** | October | January | April | July |
| **Month 2** | November | February | May | August |
| **Month 3** | December | March | June | September |

### 20.3 Process for completing the Materials Certificate Checklist

After every letting, OMR will prepare a MC checklist for every let project. The MC checklist will be sent to the Area Engineer shortly after the Construction has provided the first construction report to the Area Engineer.

- The MC checklist shall be completed every January, April, July and October by the Project Engineer for every project that had work going on for the previous three months (See Table 1).
- If materials are not used during the 3-month cycle a Checklist does not need to be sent to the lab.
- It is the Project Engineer's responsibility to make copies of the checklist to cover every quarter that work is ongoing.
- The deadline to turn in the checklist is 30 days after the last day of the report month.
- The MC Checklist can be sent electronically or hardcopy.

The Materials Audit section of OMR will review the checklists to compare test reports in their files, verify QPL sources and pre-inspection numbers, and review manufacturer certifications.

**Note: If the MC Checklist has not been received on a project within 30 days of receiving the first construction report, notify the Materials Audit Unit at (404) 363-7572**

Use the following in regard to Materials requirements for all projects let after January 2002:

1. Maintain test reports in the project files as noted on the MC checklist.
2. Send in any Manufacturers Certifications or special reports noted on the checklist along with the appropriate checklist, not separately.
3. Check that all materials suppliers are on the appropriate QPL and note the source names on the MC checklist as noted. Some pay items have been combined on the Checklist because they normally are supplied by the same source – list all sources if that is not the case.
4. All QPLs are maintained on the Internet at: http://www.dot.ga.gov/doingbusiness/Materials/Pages/default.aspx.
5. Do not prepare the following forms if you are using a MC checklist on your project
   - DOT 546 – Steel Piling and Bridge Rail Reports
   - DOT 549 – Highway Guardrail, Post and Offset Blocks

### 20.4 Instructions for completing the Materials Certificate Checklist

| A | B | C | D | E | F | G | H | I | J |
|---|---|---|---|---|---|---|---|---|---|
| **LINE ITEM** | **ITEM CODE** | **LINE ITEM DESCRIPTION** | **QPL #** | **MATERIAL REQUIREMENTS** | **1** | **2** | **3** | **OK** | **DOCUMENTATION** |
| | | | | | **PE** | | | **AUDITOR** | |
| 325 | 207- | FOUND BKFILL MATL, TP II | 2 | DOT-553 (1/500 CUBIC YARD OR 1/3 STRUCTURES) | | | | | SOURCE FROM PROJECT TICKETS: |

**Columns A, B, C, D and E will be completed by OMR prior to sending the MC Checklist to the Area Office.**

Column A (Line Item) contains the Line Item number corresponding to the construction report.

Column B (Item Code) and Column C (Line Item Description) are self-explanatory.

Column D (QPL#) will contain the QPL number, (if there is no QPL for the item it will contain "N/A").

Column E (Material Requirements) will contain the test reports that shall be maintained in the Project file and the approximate frequencies for these tests. Project Engineers are also encouraged to review the Sampling, Testing and Inspection Manual for more detailed descriptions of tests and frequencies.

**Column F, G, H and J are to be completed by the Project Engineer**.

The PE is to mark boxes F, G and H monthly, to initial that any required tests have been reviewed and materials requirements have been met. This should be done monthly when the monthly report is prepared.

Column I is for the Auditor to initial that they have reviewed the checklist and all items that were paid for during that Quarter had the appropriate materials requirements in the file, that the quantities paid are covered by appropriate tests, and any pay penalties have been applied.

Column J (Documentation) is for special notes or for the Project Engineer to identify sources and/or inspection stamps. Specific requirements or reference to the location of requirements will be noted on the MC checklist for items not covered under a QPL.

**Note: For items that note "Source:" note the source or product on the checklist. The source must be on the current QPL for that item. For items that note GDT#, CPT#, CMPT#, CPPT# or AWW# pre-inspection requirements the PE shall write in the inspection number stamped onto the product. Do not install items that are required to be pre-inspected if they are not stamped**

## EXAMPLE:

| A | B | C | D | E | F | G | H | I | J |
|---|---|---|---|---|---|---|---|---|---|
| LINE ITEM | ITEM CODE | LINE ITEM DESCRIPTION | QPL # | MATERIAL REQUIREMENTS | 1 | 2 | 3 | OK | DOCUMENTATION |
| | | | | | PE | | | AUDITOR | |
| 325 | 207- | FOUND BKFILL MATL, TP II | 2 | DOT-553 (1/500 CUBIC YARD OR 1/3 STRUCTURES) | GM | GM | - | BM | SOURCE FROM PROJECT TICKETS: Blue Circle Aggregates Douglasville, GA |
| 350 | 402-1812 | RECYCLED ASPH CONC LEVELING, INCL BITUM MATL & H LIME | 45 | DOT-159 (1 PER LOT) | - | - | GM | BM | LOT#'s____1___TO____20___ |
| 565 | 550-4418 | FLARED END SECTION, 450 MM, SLOPE DRAIN | 4 OR 56 | DOT-553(1/3 STRUCTURES) | - | - | GM | BM | 4-CPT#___23_____ OR 56-CMPT TAG Y SOURCE: Sherman Concrete Pipe Co. Rome, GA |
| 1100 | 407-0010 | ASPHALT-RUBBER JOINT AND CRACK SEAL, TP M | N/A | | - | - | - | NOT USED | ATTACH 106.05 CERTIFICATION |

In the example above:

- The Project Engineer (PE) wrote in the Sources to line item 325 and verified that the DOT-553 test reports were all passing and were in the file.
- The PE wrote in the lot numbers from the 159 reports for line item 350 and checked that the quantities noted on the 159s matched the pay quantities and any pay penalties were taken into account on the monthly statement.
- The PE noted the CPT # and source for line item 565.
- The PE would attach a copy of the materials certification provided by the Contractor for line item 1100 if it had been paid for in the past three months.
- All items may not be paid for in each month. The PE should initial each month that the item was included in the construction report.
- The auditor initials that they have seen the items in the file.
- Dash or x out months when items were not used.
- If the item is not used for the entire quarter the auditor will note "not used".

### 20.5 Off System, State Funded Projects

- MC Checklists for all Off-system, State funded projects will be sent electronically to each District Lab TMOS instead of Area Engineers.
- Construction shall notify the Branch Lab when testing is needed to be done on these projects.
- Construction will send C'd out (final) construction reports as projects are completed to each District Lab TMOS for all Off-system, State funded projects.
- Construction can close out the project without an MC for all Off-system, State funded projects.
- An internal OMR MC will be developed and filed in the Material project file.

## 21.0 Equal Employment (EEO) Contractor Construction Site Bulletin Boards:

- Ensure the Prime contractor's bulletin board meets EEO Guidelines.
- Notice and posters setting forth the contractor's EEO Policy must be placed in areas readily accessible to employees, applicant for employment, and potential employees.
- Prime Contractor posts the following information in an externally visible, weatherproof, conspicuous place on the project site. The Prime Contractor shall secure the following posters from the District EEO Officer:

    - "**EEO is The Law**" - English version and Spanish Version
    - "**NOTICE"** – From FHWA 1022 – English Version
    - "**Important Wage Rate Information**"
    - "**WH Publication 1321**" - Revised 1-86
    - "**Form FHWA-1495 - Wage Rate Information**"
    - **Davis-Bacon Wage Classifications**
    - "**Notice to All Employee**" – Notice to all workers on a federally funded construction project
    - Prime Contractor's EEO Policy Statements Currently Dated
    - Each Subcontractor's EEO Policy Statement Currently Dated